



**Employment & Training
Administration**

TAA Data Validation Handbook

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I. OVERVIEW

Trade Act programs assist individuals who have become unemployed as a result of increased imports from, or shifts in production to, foreign countries. The goal of the Trade Act programs is to help trade-affected workers return to suitable employment as quickly as possible. States submit Trade Act Participant Report (TAPR) records to ETA on a quarterly basis, and ETA uses these records to measure the extent to which the program is meeting this performance goal. Participants who exit the TAA program after receiving employment and training services are included in three performance measures:

1. The entered employment measure is based on whether the exiter entered employment.
2. The retention measure is based on employment status during the third quarter after exit for exiters who entered employment.
3. The earnings replacement rate is based on the change from pre-program to post-program earnings.

According to the TEGL 3-03, states are required to validate their Fiscal Year (FY) 2003 exiter records by April 1, 2004. States conduct data validation after final TAPR records for the fiscal year have been submitted to ETA. The data to conduct the FY 2003 validation should be available as of November 15, 2003, when the final file for the fiscal year was due to ETA.

This Trade Adjustment Assistance (TAA) data validation handbook describes the procedures for states to follow to review the accuracy of their TAPR records. The handbook also provides instructions on using the TAA data validation software that ETA is providing to states. The software includes a demo database with sample data, so users can review the full functionality of the software before building their own extract files.

I. OVERVIEW

A. REPORTING GUIDELINES

The TAA fiscal year runs from October 1st through September 30th. For example, FY 2003 runs from October 1, 2002 to September 30, 2003. Each state is required to make four quarterly submissions of records to ETA according to the guidelines shown in Table I.1.

Column 1 of Table I.1 lists the four reporting quarters in a fiscal year, which are the quarters during which the records for the exiters in column 2 should be compiled and the TAPR assembled. Column 2 lists the four quarters of exit, which are the quarters in which the participant exited the program. Column 3 specifies the due date for the quarterly submission. Each submission is due five and a half quarters after the quarter of exit, which provides sufficient time to obtain the wage data needed for calculating the retention rate.

Definitions:

1. FY = Current fiscal year
2. FY-1 = Prior fiscal year
3. FY-2 = Fiscal year prior to the prior fiscal year

Table I.1: Four Quarterly TAPR Submissions

Reporting Quarter	Quarter of Exit	Due Date
October FY-1 – December FY-1	July FY-2 – September FY-2	February FY
January FY – March FY	October FY-2 – December FY-2	May FY
April FY – June FY	January FY-1 – March FY-1	August FY
July FY – September FY	April FY-1 – June FY-1	November FY

For example, if the report due date is May 2003, the report must contain records for participants who exited between October 2001 and December 2001. In order to calculate the annual performance measures and conduct data validation, the validation extract file must contain records for exiters for all four quarters in the fiscal year. For instance, the FY 2003 validation extract file must contain all participants who exited from July 2001 through June 2002.

I. OVERVIEW

B. OVERVIEW OF DATA VALIDATION

Data validation is designed to accomplish the following goals:

1. Detect and identify data problems with a state's reporting to enable the state to correct the problems.
2. Ensure that critical performance data used to direct incentives and sanctions and to meet ETA's Government Performance and Results Act (GPRA) responsibilities are reasonably accurate by calculating an error rate for each data element validated.
3. Provide tools that help states analyze the causes of their performance successes and failures by displaying participant data organized by performance outcomes.
4. Minimize the burden on states in conducting the validation by providing standardized software that displays the individual participant records by outcome and provides built in random samples, validation worksheets, and automated validation reports.
5. Further minimize the burden on the states by selecting the smallest possible validation samples necessary to compute valid error rates.

Data validation typically involves two distinct processes—report validation and data validation. ***Report validation*** assesses the accuracy of state reports by comparing the values calculated by states to values calculated by the validation software. Because ETA calculates performance measures for all participants, report validation is unnecessary. However, state staff can use the validation software to view and analyze the performance of individual exiters. The validation software also calculates the state's performance and generates a performance measure report.

I. OVERVIEW

Data validation confirms the accuracy of selected data elements by examining a sample of participant records to assess whether the data in the sampled records are correct. When a record is selected for validation, state staff compare it against the case documentation for that participant. TEGL 3-03 requires data validation of TAA exit data.

Not all data elements are subject to validation. Data elements are selected for validation based on three factors:

- **Feasibility**—ETA can validate data elements only where it is practical and efficient to locate and examine supporting evidence within the state case files. Therefore, such items as race, ethnicity, and gender will not be validated because these data elements are self-reported by participants, and it is not practical to locate the participant to document these characteristics.
- **Risk**—The process for data validation is based partly on the risk that the data element can be inaccurate. Data elements involving human judgment are more prone to error than data elements that do not involve human judgment. For example, determination of employment based on supplemental sources is higher-risk than determination of employment from wage records.
- **Importance**—Data elements are selected for validation based primarily on their importance to the integrity of the individual participant records and their significance for generating performance outcomes.

I. OVERVIEW

C. HANDBOOK OVERVIEW

The following chapters and appendices guide states through the process of validating data from their TAPR submission:

- **Chapter II—Validation Procedures**

Chapter II provides a step-by-step description of how to conduct data validation. This chapter describes how to build and import a validation extract file, validate the sample that is selected by the software, and generate performance measure and summary and analytical reports.

- **Chapter III—Validation Record Layout**

Chapter III provides the record layout specification for creating the validation extract file.

- **Appendix A—Performance Measure Specifications**

Appendix A provides detailed performance measure specifications used by ETA and by the validation software to generate the TAA performance measures.

- **Appendix B—Data Validation Sampling and Error Rate Estimation**

Appendix B provides the specifications for sampling and error rate estimation that are used by the validation software to select the data validation sample, and to calculate error rates on the summary and analytical report.

- **Appendix C—Data Validation Instructions**

Appendix C provides the data validation instructions used by the validator to validate each data element on the data validation worksheet.

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- **Appendix D—Software Installation**

Appendix D provides a step-by-step description of how to install the validation software on a PC.

- **Appendix E—Software Reference Guide**

Appendix E provides a condensed list of all the menus and functions of the validation software for quick reference.

D. PREPARING FOR VALIDATION

As indicated, Chapter II of this handbook describes each task that states should follow to complete data validation. Responsibility for completing these tasks will be divided among various staff.

Managers are responsible for assuring that programmers and validators have the resources needed to complete the validation as required by ETA. They are also responsible for keeping the data validation effort on schedule.

Programmers have the primary responsibility for building the validation extract file in the format specified in the record layout. Programming staff will also be responsible for loading the file into the validation software.

Validators conduct the data validation once the extract file has been imported into the software. Validators should also work closely with programming staff to determine which data elements best meet the requirements specified in the record layout.

I. OVERVIEW

Table I.2 summarizes the preparation tasks that states should complete before embarking on the validation effort, and the staff who will likely be responsible for completing each preparation task. All of these tasks can begin immediately, so that the state can maximize the time available to validate its sample of TAPR records.

Table I.2		
Preparing for Data Validation		
Preparation Activity	Responsible Staff	Handbook Reference
Assemble validation team.	Managers	Not applicable
Review handbook.	Validators, programmers	All chapters and appendices
Install validation software.	Programmers	Appendix D
Develop a data validation schedule and make staff assignments.	Managers, validators, programmers	Chapter II
Build and test validation extract file of all FY2003 TAA exiters, based on record layout. Final file should be generated as soon as possible after the final FY submission in November, 2003, to maximize the time available to conduct the data validation.	Programmers, validators	Chapter II—Section B, Chapter III
Review data validation instructions and update state version of sources column	Validators, programmers	Appendix C

After reviewing this handbook, states should contact Mathematica Policy Research, Inc. by emailing TAATA@mathematica-mpr.com with any questions on validating their TAPR submission.

II. VALIDATION PROCEDURES

This chapter provides a step-by-step description of how to conduct data validation. Following are brief summaries of each section of the chapter.

A. Accessing the Validation Software

Section A describes how to access the validation software and how to identify the reporting period to be validated. This section also describes how the user can change the reporting options after the initial sign in.

B. Creating and Importing a Validation Extract File

Section B describes how to build and import a fiscal year file of TAA exiters. This section also describes how to access and review duplicate detection and error reports of records rejected by the validation software during the import process.

C. Report Validation

Section C describes how to review the performance measure report generated by the software, and how to access and analyze records by performance outcome groups.

D. Data Validation

Section D describes how to conduct data validation for a sample of exiter records, using the worksheets generated by the software. This section also describes how to access the summary and analytical report.

II. VALIDATION PROCEDURES

A. Accessing the Validation Software

Task 1—Installing the Application

Users should refer to Appendix D for detailed instructions on installing the data validation software.

Task 2—Opening the Validation Software

Go to the Start menu, click on Programs, and then scroll to find **TAA**. Click on **TAA** to open the software.

Task 3—Sign In Screen

On the Sign In screen, the user can either choose to validate records for an entire fiscal year or for one of the four quarters.

Enter the fiscal year to be validated in the cell marked Fiscal Year. Move the cursor to any other cell and the validation period start and end date range will automatically fill based on the FY entered. Alternatively, users can leave the Fiscal Year blank and manually enter the desired date range for validation.

II. VALIDATION PROCEDURES



U003 - Sign In

Fiscal Year: 2003

Period Start Date: 7/1/2001

Period End Date: 6/30/2002

Sign In Exit

States using the demo database to learn about the software's functionality should enter Fiscal Year 2003.

Click on the “**Sign-In**” button after specifying the FY or date range being validated.

After logging in a list of tips will pop up that provides brief explanations of each function.

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Task 4—Change Reporting Options

To change the reporting parameters after signing in to the software, open the **Change Reporting Options** menu and select **Change Reporting Options**.

In the Change Reporting Options screen, the user can select and change several options: the fiscal year, period start and end date, office name, WIB name, and/or case manager's name. This function enables the state to produce substate level performance measure reports based on the options selected.

While date ranges are auto filled based on the fiscal year selected, users may overwrite these date ranges to analyze performance for specific time periods. If the user decides to change the fiscal year after importing the data, the performance measure report and the performance outcome groups will not accurately reflect the new selection. For the software to calculate an accurate report, the user must re-import the data after changing the fiscal year.

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The WIB, office, and case manager drop down menus include the unduplicated values in each of these fields on the import file. After the user selects filters from the drop down menus and clicks on Save, the source table, performance outcome group table, and performance measure report will all be reconfigured to reflect the data and results for the selected subgroup. The selected subgroup appears in the footer of the performance measure report to distinguish it from the state level report. Users should note that changing these filters does not impact the sample of exiters selected for validation.

After selecting filters to create the desired report, the user should click on **Save** to save the options.

U003r - Change Report Options

Fiscal Year: 2003

Period Start Date: 7/1/2001

Period End Date: 6/30/2002

Office Name: DEF

WIB Name: ABC

Case Mgr: XYZ

Save Exit

II. VALIDATION PROCEDURES

B. Creating and Importing a Validation Extract File

States should consolidate the four TAPR submissions for the Fiscal Year being validated, and import the file into the TAA software.

Task 1—Create a File Based on the Record Layout

To view the record layout, open the **Import Data** menu and select **Source Table Record Layout**. The record layout is in the TAPR format with the addition of six fields, as detailed in chapter III of this handbook. The additional fields are observation number (field #1), sampling unit (field #51), WIB name (field #52), office name (field #53), case manager (field #54), and user field (field #55).

The user field and the sampling unit are user-defined fields. The user field appears on the validation worksheet and can be filled with any additional data element that the state wishes to have available on the validation worksheet. For example, states can include the participant name or other identifying information that should appear on the validation worksheet to help locate case folders for sampled participants. It is not mandatory that you use this field.

The sampling unit field is a numeric designator for the office, which is used to create a clustered sample. If the state does not currently have a numeric office designator, it should create one for each office. This is not a mandatory field, so the software will not reject a record if it is blank. However, the software will treat all records with blanks in the sampling unit field as coming from the same office.

The exit date field can represent either the date the participant exited the TAA program, or the date the participant exited the WIA program if the participant was coenrolled in WIA. However, for coenrolled participants states should be sure to use the exit date that was used to obtain wages for the first and third quarters after exit.

The extract file must be in ASCII, comma-delimited or tab-delimited columns. The software will also accept comma separated (CSV) files. Fields must be in the order and format listed on the record layout. Mandatory fields are specified in the record

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layout. Blanks are acceptable in optional fields. However, blank or null values are not valid for mandatory fields and will result in the record being rejected.

Chapter I provides information about the date ranges for the exiters to be included in the extract file. The extract file can be generated after the final quarterly file for the fiscal year being validated has been submitted to DOL. This typically occurs five and a half quarters after the end of the fiscal year being validated.

The validation extract file is equivalent to the four TAPR submissions for the fiscal year, unduplicated using the most recent record for each participant. One way that states could create the file is to aggregate all of their TAPR submissions for the program year being validated. Before aggregating the files states should mark each record to indicate which TAPR submission it came from (e.g. 1st through 4th). States can then unduplicate the aggregated file by retaining only the last record submitted for exiters with multiple records. The extract file can be completed by adding observation numbers and sampling units to the unduplicated records, and then extracting from the state data base the sampling unit, WIB name, office name, case manager, and any user field applicable to each record. The original marker for submission quarter may be retained in the user field if states choose to do so.

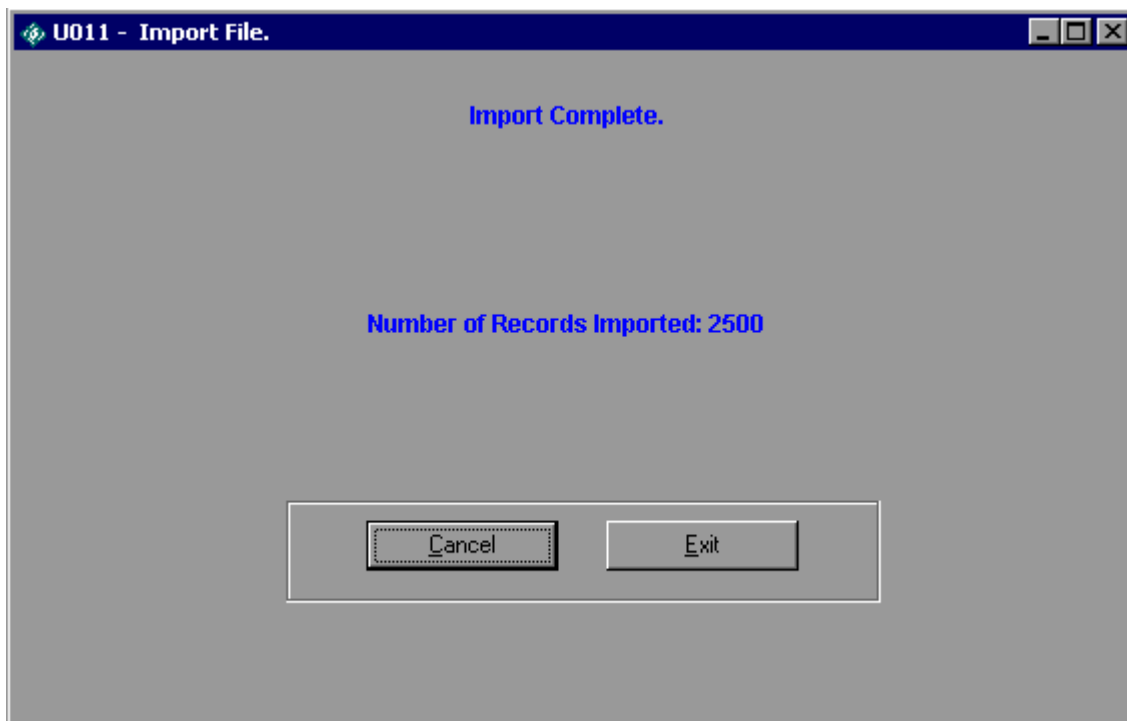
Alternatively, states may develop an extract routine to pull the most recent data for each fiscal year exiter directly from the state's data base, in the format specified in the record layout. States using this approach should ensure that they run the extract routine as close as possible to their fourth quarterly submission, to minimize any differences between the data in the TAPR submission and in the validation extract file.

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Task 2—Import Extract Data

Once the data are formatted according to the record layout, open the **Import Data** menu and select **Import from Extract File**. Select the file to be imported using the **Select File** box. Click Open to import the extract file.

Once this is done, the **Import File** box will display counters for both the numbers of records imported successfully and the number of records with errors. The Import File box also includes a cancel button that can be used to stop the loading process. It may take several minutes to import the data, depending on the size of the file. Click Exit when a message appears that the import is complete.



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To view the imported file open the **Import Data** menu and select **View Source Table**. This is a read only screen. However, the columns in the source table are sortable to facilitate state review of the imported records. Users can sort on any column in the source table.

If the cursor is placed on a particular row of a column, the application will show that row number in red at the bottom of the screen. This feature enables the user to easily count the number of records with a particular characteristic in the source table. The total number of records in the source table is provided on the lower left corner of the screen. For example, the source table below has 2500 records as shown in the lower left corner of the screen, and the cursor is on row 5 as shown on the lower right.

OBS	State	SSN	DOB	Gender	Disability	Hispanic
1	State XYZ	1	19520912	2	3	1
2	State XYZ	2	19590505	2		
3	State XYZ	3	19460228	2	3	
4	State XYZ	4	19600812	2	3	1
5	State XYZ	5	19571117	2	3	1
6	State XYZ	6	19510203	2	3	1
7	State XYZ	7	19301003	1		1
8	State XYZ	8	19500924	2	3	1
9	State XYZ	9	19510304	1		
10	State XYZ	10	19730723	2		1
11	State XYZ	11	19591017	2	3	1
12	State XYZ	12	19590415	2	3	
13	State XYZ	13	19510414	1	3	
14	State XYZ	14	19531206	1	3	
15	State XYZ	15	19550401	1		1
16	State XYZ	16	19530110	1	3	1
17	State XYZ	17	19510927	2	3	1
18	State XYZ	18	19560409	1		1
19	State XYZ	19	19300624	2	3	1
20	State XYZ	20	19511010	2		1
21	State XYZ	21	19530507	1	3	
22	State XYZ	22	19521006	2		1
23	State XYZ	23	19520529	1		
24	State XYZ	24	19690602	1		1

Number of Records in Population: 2500

Current Row Number 5

Reporting Period - 7/1/2001 - 6/30/2002

II. VALIDATION PROCEDURES

Task 3 – Review Error Report

When the extract file is loaded, the validation software reads each record to ensure that all fields are valid based on the record layout. Any records with missing data in mandatory fields, that is, records without an Observation Number or State Name, are rejected. In addition, the software rejects any duplicate records or records with invalid data.

An error report listing the rejected records is produced. If no errors are found, no error report is produced. The error report is automatically saved to the TAA folder (C:\Program Files\TAA) and is titled importerror.txt. To save each error report, the importerror.txt file should be renamed so that it is not overwritten by subsequent error reports.

The error report indicates which observation has an error and the general type of error that caused the record to be rejected. The error report does not however indicate the specific field or fields in the record that are in error. Therefore, the error report should be viewed as a diagnostic tool to help states determine why records have been rejected.

Import errors occur, for example, when the number of columns in the extract file does not match the number of columns specified in the record layout. This type of import error message is shown in sample error report 1. States should compare their import file format to the source table record layout to determine why the number of fields/columns does not match.

Sample Error Report 1: Wrong Number of Columns

```
errors in file: Q:\DOL2\ETA\Software Applications\TAA\Handbook Data\TAPR FY03 wrong #
cols.txt on 1/22/2004 3:50:00 PM

Error with OBS code - 1. Application-defined or object-defined error - there was an
error reading a row from the input file. number of columns does not match expected
number of columns.
```

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Import errors may also occur when the extract file contains incorrectly formatted data, as shown in sample error report 2. For example, text values may have been erroneously placed in a number field.

Sample Error Report 2: Incorrect Data Format

```
Errors in file: Q:\DOL2\ETA\Software Applications\TAA\Handbook Data\TAPR FY03 text in
number fld.txt on 1/22/2004 4:20:51 PM

Error with OBS code - 1220. [Microsoft][ODBC Microsoft Access Driver] Data type mismatch
in criteria expression. - There was an error reading a row from the input file due to
incorrectly formatted data. Certain columns do not meet the requirements as specified in
the record layout (e.g text values may be placed in fields which require numeric
values).
```

A third type of import error occurs when the exit date in the participant record does not fall into the exit date range for the FY on the sign in screen. This type of import error is shown in sample error report 3.

Sample Error Report 3: Not Within Date Range

```
Error with OBS code - 1. record is not within the date range selected.
Error with OBS code - 2. record is not within the date range selected.
Error with OBS code - 3. record is not within the date range selected.
Error with OBS code - 4. record is not within the date range selected.
Error with OBS code - 5. record is not within the date range selected.
Error with OBS code - 6. record is not within the date range selected.
Error with OBS code - 7. record is not within the date range selected.
Error with OBS code - 8. record is not within the date range selected.
Error with OBS code - 9. record is not within the date range selected.
Error with OBS code - 10. record is not within the date range selected.
```

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The following table specifies validation software edit checks and the error messages that will appear on the error report for the rejected record.

	Edit Check	Error Message
1	Date of Exit (Field Number 40) is not within the reporting period.	Record is not within the date range selected.
2	Date of Exit (Field Number 40) is before Date of Registration (Field Number 38)	The exit date is before the registration date.
3	Employed in the First Full Quarter after Exit (Field Number 41) = 2 or 3 and First Quarter Following Exit (Field Number 47) > 0 and < 99999)	The participant is not listed as employed in the first quarter after exit, yet they have valid earnings.
4	Employed in the Third Full Quarter after Exit (Field Number 44) = 2 or 3 and Third Quarter Following Exit (Field Number 49) > 0 and < 99999)	The participant is not listed as employed in the third quarter after exit, yet they have valid earnings.

After reviewing any error reports generated by the software, ADP staff should determine if the extracts must be regenerated or reformatted and reloaded. If a very small number of records are rejected, it may not be necessary to re-import the file.

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Task 4—View Duplicates

This task allows the user to view the duplicate records identified by the software. No data entry is required, this option is for analytical purposes only.

Click on the **Import Data** menu and select **View Duplicates**.

This opens a report that displays the duplicate records, including their observation number, SSN, and Exit Date. Records that have the same SSN and Exit Date are considered to be duplicates and are rejected. The user must determine if it is necessary to fix the extract. If so, the user must determine which observations to return to the extract file and then reimport the data.

TAA Duplicate Records Report

OBS	SSN	Exit Date
112	900125129	20001215
2	900125129	20001215

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C. Report Validation

Task 1—View Performance Outcome Groups

The software assigns each record to a performance outcome group following the specifications in Appendix A.

This allows the user to view the records that have been assigned to each performance outcome group. No data entry is required; this function is for analytical purposes only.

Click on the **Report Validation** menu. Then click on **View Report Validation Tables**. This opens a window that displays a summary of the 7 performance outcome groups and the total number of records that have been assigned to each performance outcome group. A section of the performance outcome group summary screen is shown below.

Summary

Detail

Trade Adjustment Assistance Report Validation.

	Performance Outcome Group	Number in Group	1 Emp Status at Registration	2 Emp Exit Q+1	3 Exit Q+1 Wage/ Sup. Sources	4 Emp Exit Q+3
▶	1	1276	Worker	Yes	Wage Records	Yes
▲	2	1	Worker	Yes	Wage Records	Yes
■	3	0	Worker	Yes	Supplementary	Yes
■	4	0	Worker	Yes	Supplementary	Yes
■	5	150	Worker	Yes	Wage Records	No
■	6	5	Worker	Yes	Supplementary	No
■	7	1068	Worker	No	N/A	N/A

Double click on the arrow in the far left column of each performance outcome group to view the detailed records in that group.

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Exhibit A.1 in Appendix A replicates the performance outcome group table within the software. This appendix describes in detail how the software assigns exiters who received employment and training services to 7 performance outcome groups for the entered employment, retention, and earnings replacement measures.

Task 2—View Detailed Records

After double clicking the arrow in the far left corner of a performance outcome group, the user can view the detailed records in that group.

Summary

Detail for 1 order by obs

Total Number of Records: 1276

OBS	State	SSN	DOB	Gender	Disability	Hispanic	NativeAmer	Asian	AfricanAme
3	State XYZ	3	19460228	2	3				1
5	State XYZ	5	19571117	2	3	1			
11	State XYZ	11	19591017	2	3	1			
12	State XYZ	12	19590415	2	3				
13	State XYZ	13	19510414	1	3				
17	State XYZ	17	19510927	2	3	1			
18	State XYZ	18	19560409	1		1			
21	State XYZ	21	19530507	1	3				
22	State XYZ	22	19521006	2		1			
23	State XYZ	23	19520529	1					

Sort Detailed Records

To sort records in ascending or descending order, double-click the heading of the column you wish to sort.

Widen Columns

To increase the width of the columns, go to the intersection of the relevant column heading, click the mouse button and drag to the desired width.

II. VALIDATION PROCEDURES

Task 3—View Performance Measure Report

This function displays a report that calculates the values for the three TAA performance measures, based on the specifications in Appendix A.

To view the performance measure report, click on the **Report Validation** menu and select **View Performance Report**. No data entry is required; this is a read-only function.

Click on the printer icon to print the report using a live printer. To produce the report in Adobe Acrobat (PDF) format, click on the export report button to the right of the printer icon and follow the prompts.

Performance Measure Calculation - TAA Period 7/1/2001 - 6/30/2002

RptCell	Description	Validation Value
1	EER Numerator	1,432
2	EER Denominator	2,500
3	EE Rate	57%
4	Retention Numerator	1,277
5	Retention Denominator	1,432
6	Retention Rate	89%
7	Earnings Replacement Numerator	10,255,222
8	Earnings Replacement Denominator	14,787,091
9	Earnings Replacement Rate	69%

If users have selected a WIB, office and/or case manager filter on the Change Reporting Options screen, the performance measure report will be generated for that subgroup. The footer of the report will display the selected subgroup.

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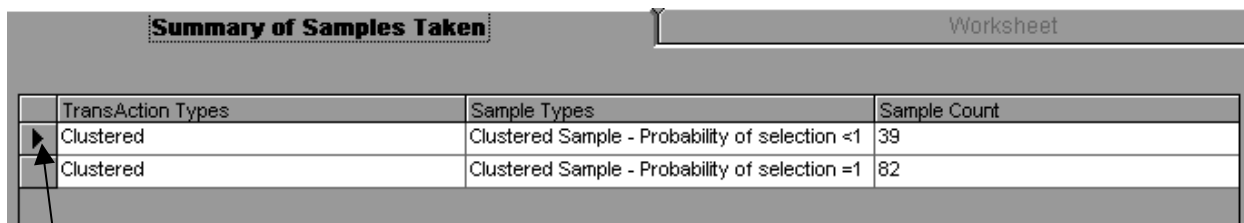
D. Data Validation

Task 1—Access Sampled Records

The software selects a sample of the TAA exit records that have been imported into the software, and presents the data for each sampled record on a worksheet. Appendix B of this handbook provides the validation sampling specifications.

Click on the **Data Validation** menu and select **Edit Worksheets**.

This opens a window that displays a summary of the samples of TAA exit records. Double click on a sample row to view the sampled records. States must complete both sets of samples that appear on the summary screen.



Summary of Samples Taken			Worksheet
TransAction Types	Sample Types	Sample Count	
Clustered	Clustered Sample - Probability of selection <1	39	
Clustered	Clustered Sample - Probability of selection =1	82	

Double click on arrow to open summary worksheet for each sample

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This will open the data validation worksheet summary for the sample selected. This summary screen is read only.

Summary Worksheet

Summary of Samples Taken

Worksheet

Number samples inspected: 0

Clustered

	obs	ssn	SamplingUnit	DOB	Pass/Fail	Vet
1	14038	14038	2	19540910		
2	140220	140220	2	19641230		
3	140228	140228	2	19560105		
4	140253	140253	2	19420602		
5	140279	140279	2	19770903		
6	140297	140297	2	19410206		2
7	140329	140329	2	19710730		
8	140336	140336	2	19730725		
9	140347	140347	2	19510821		
10	140361	140361	2	19500606		2
11	140398	140398	2	19730911		
12	140404	140404	2	19610601		
13	140448	140448	2	19491125		

DOB Vet UCStatus PellGrant DislocDate AppDate Petition

Refresh Counts

To access, update, and print individual sampled records, double click on the row of the applicable record on the worksheet summary. This will open a validation worksheet for the selected record.

II. VALIDATION PROCEDURES

The online worksheet is on two tabs, one for validation fields 1 through 20 and one for validation fields 21 through 35 and comments. Identifying information at the top of the worksheet helps validation staff locate the case file for the selected record.

Sample Online Data Validation Worksheet

OBS	136	Sampling Unit	331	Office Name	DEF	TAA Sample Validation. Not Completed	
SSN	136	User Id	136	WIB Name	ABC		
1 - 20		21 - 35					
Data Elements	Reported Value	Pass	Fail	Data Elements	Reported Value	Pass	Fail
21. JobSearchAllow		<input type="checkbox"/>	<input type="checkbox"/>	31. Earn2ndQTRPriorToDisloc	2354.67	<input checked="" type="checkbox"/>	<input type="checkbox"/>
22. Relocation		<input type="checkbox"/>	<input type="checkbox"/>	32. EarnQTR+1	3382.17	<input checked="" type="checkbox"/>	<input type="checkbox"/>
23. RegDate	20010701	<input checked="" type="checkbox"/>	<input type="checkbox"/>	33. EarnQTR+2	2925.13	<input checked="" type="checkbox"/>	<input type="checkbox"/>
24. FedCoenroll	1	<input checked="" type="checkbox"/>	<input type="checkbox"/>	34. EarnQTR+3	4213.89	<input checked="" type="checkbox"/>	<input type="checkbox"/>
25. ExitDate	20010723	<input type="checkbox"/>	<input checked="" type="checkbox"/>	35. Recalled		<input type="checkbox"/>	<input type="checkbox"/>
26. EmpQtr+1	1	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Comments Exit date documentation not found. Case validated by GFR.			
27. Occ Code		<input type="checkbox"/>	<input type="checkbox"/>				
28. Occ CodeType		<input type="checkbox"/>	<input type="checkbox"/>				
29. EmpQtr+3	1	<input checked="" type="checkbox"/>	<input type="checkbox"/>				
30. Earn3rdQTRPriorToDisloc	3778.97	<input checked="" type="checkbox"/>	<input type="checkbox"/>				
<div>Save and Exit Print Exit Without Saving</div>							

Refer to Task 4 of this section for detailed instructions on completing the online worksheet. “Not Completed” is displayed in red in the upper right hand corner of the online worksheet until the validator completes every field in the record that requires validation. At that point the message changes to “Completed”.

II. VALIDATION PROCEDURES

Task 2—Print Worksheets

The validator must assemble the printed worksheets for the sampled records. The software sorts the worksheets by WIB and then by office within each WIB to simplify the task of identifying which offices must be visited, and which cases must be validated at each location.

To print all of the worksheets in batch mode, click on the **Data Validation** menu and then click on **Print Worksheets**.

All worksheets for the sampled records are formatted for printing. Click the printer icon at the top left of the screen to begin printing.

Sample Printed Worksheet

<u>TAA Data Validation Worksheet</u>			
For Obs:	103	WIB:	ABC
SSN:	103	Office:	DEF
Sampling Unit:	216	User ID:	103
Data Element	Ref#	Value	Pass/Fail
DOB	01	19790913	Pass
Vet	02		
UCStatus	03	2	Pass
PellGrant	04		
DislocDate	05	19991105	Pass
AppDate	06	20000525	Pass
Petition	07	36633	Pass
PartDate	08	20000822	Pass
EnterTrainDate	09	20000822	Fail
TrainEndDate	10	20010730	Fail

II. VALIDATION PROCEDURES

Task 3—Print Sampled Counts Report

To obtain a report of the number of cases sampled by WIB name, office name and sampling unit, click on the **Data Validation** menu and then click on **Print Sampled Counts Report**. This report shows the distribution of the sample by location. No data entry is required, this report is for analytical purposes only.

Count of Sampled Records by Sampling Unit

WibName	OfficeName	SamplingUnit Number	Count of Sampled Records
ABC	DEF	216	10
ABC	DEF	331	10
ABC	DEF	332	10
ABC	DEF	348	10
ABC	DEF	349	10
ABC	DEF	482	10
ABC	DEF	563	10
ABC	DEF	601	10
ABC	DEF	925	10
ABC	DEF	1109	69
Total			159

II. VALIDATION PROCEDURES

Task 4—Validate Sampled Records

State staff must obtain the source documentation for each sampled record in order to complete the validation worksheets. The validator must, therefore, travel to the physical location where the case files are stored to access the relevant source documentation for each sampled record. The validator reviews the case files for each data element present on the worksheet, using the validation instructions in Appendix C. Some elements may be validated against central computer files. Instructions for validating elements against central computer files are also included in Appendix C.

Many of the data elements will be blank on the worksheet due to two factors. First, not every data element applies to each participant. For example, if the participant has not entered training, the data element for date entered training will be blank on the worksheet for that participant.

Second, with the exception of employment during the first and third quarter after exit, negative values are generally not validated so the software does not display them on the worksheet. For example, if the participant did not receive a relocation allowance (i.e. has a value of “2”), then the data element will be blank.

While blanks are generally not validated, there are specific data elements for which blanks must be validated. The validator should carefully read the instructions for each data element because they indicate when blank data elements must be validated. For example, all earnings fields are validated whether or not they are blank.

Appendix C includes separate instructions for each data element; data element instructions are presented in the same order in which the elements appear on the worksheet. Each instruction specifies the recommended sources for validating the data element. If the validator locates equivalent source documentation that is not specified in the instructions, the validator should record the new source in the state version of sources on the validation instructions.

II. VALIDATION PROCEDURES

After reviewing the source documentation and following the validation instructions, the validator records the result in the appropriate checkbox for each element. The two possible validation outcomes for each data element are:

1. Check pass if the element was supported by/matched the source documentation
2. Check fail if the source documentation showed that the data element was incorrect or that no source documentation was available

The validation worksheets can be completed online by one or more validators accessing the same database (see Task 8 of Appendix D for more information on setting this up). However, if validators complete paper worksheets, the results must later be data entered into the corresponding online worksheet.

Any comments related to the validation of a particular record can be entered in the comments text box on the second tab of the online worksheet. These comments will then appear on the printed version of the worksheet. Comments can include the reason a data element failed validation, the validator's name if the state chooses to record it, or other relevant information.

After completing the pass or fail checkbox for each data element to be validated in a sampled record, and entering any relevant comments, the validator should click on the "Save and Exit" button on the online worksheet (as shown in Task 1 of this section).

II. VALIDATION PROCEDURES

Task 5—Data Validation Summary/Analytical Report

The software generates a summary and analytical report after the data validation sample worksheets have been completed. The report shows the number of errors and the percent of errors.

Two types of error rates (Overall Error Rate and Reported Data Error Rate) are generated as the worksheets are being validated. The Overall Error Rate equals the total number of records in error divided by the number of records that are sampled, weighted to account for the over- and under-sampling of particular types of records. The Reported Data Error Rate includes in the denominator only those records for which a particular data element was validated. Please see Appendix B of the validation handbook for more information about the two types of error rates.

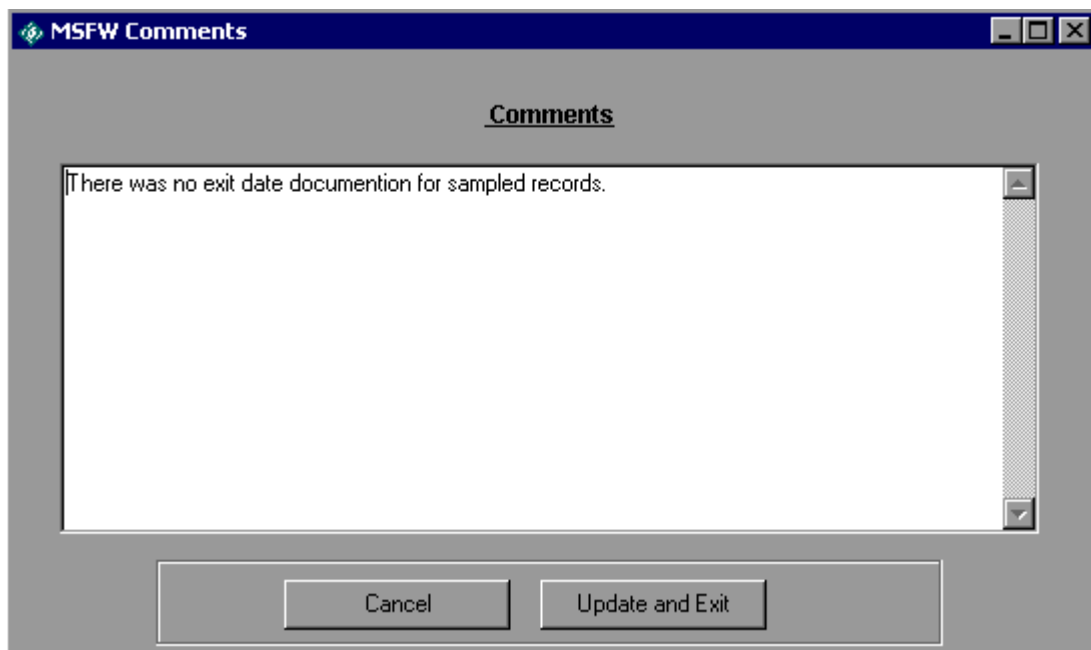
To access the report, click on the **Data Validation** menu and select **Print Summary/Analytical Report**. No data entry is required; this screen is for analytical purposes only. To print the summary and analytical report, click on the printer icon on the tool bar.

TAA Data Validation Summary and Analytical Report

State:	State XYZ	Period:	6/30/2002	Number of Cases:	159	Number of Cases Completed:	1
Data Element	Ref. #	# of Errors	Overall Error Rate	Reported Data Error Rate			
DOB	01	0.00	0.00	0.00			
Vet	02	0.00	0.00	0.00			
UCStatus	03	0.00	0.00	0.00			
PellGrant	04	0.00	0.00	0.00			
DislocDate	05	0.00	0.00	0.00			
AppDate	06	0.00	0.00	0.00			
Petition	07	0.00	0.00	0.00			
PartDate	08	0.00	0.00	0.00			
EnterTrainDate	09	1.00	0.10	100.00			
TrainEndDate	10	1.00	0.10	100.00			

II. VALIDATION PROCEDURES

States may include comments on the summary and analytical report to describe issues encountered during the validation. To do this, click on the **Data Validation** menu and select **Summary/Analytical Comments**. In the text box, enter any comments applicable to the data validation effort. Click the update button for the comments to be transferred to the comments section on the summary and analytical report.



The image shows a software dialog box titled "MSFW Comments". The window has a blue title bar with the text "MSFW Comments" and standard Windows window controls (minimize, maximize, close). Below the title bar, the word "Comments" is centered and underlined. A large text area with a vertical scrollbar contains the text: "There was no exit date documentation for sampled records." At the bottom of the dialog box, there are two buttons: "Cancel" and "Update and Exit".

II. VALIDATION PROCEDURES

States should determine whether their error rates are acceptable or unacceptable for each data element. Federal quality standards for determining unacceptable error rates will be developed after sufficient data have been collected on the validation results.

Although ETA is currently developing policies for reporting on the validation results, it is likely that the state will submit the summary and analytical report via the Internet. The validation files, including the completed worksheets, summary and analytical reports and copies of supporting documentation, should be retained on-site for three years for monitoring purposes.

Table II.1 and Figure II.1 summarize the process for validating the TAA exit data.

II. VALIDATION PROCEDURES

Table II.1: Overview of Data Validation

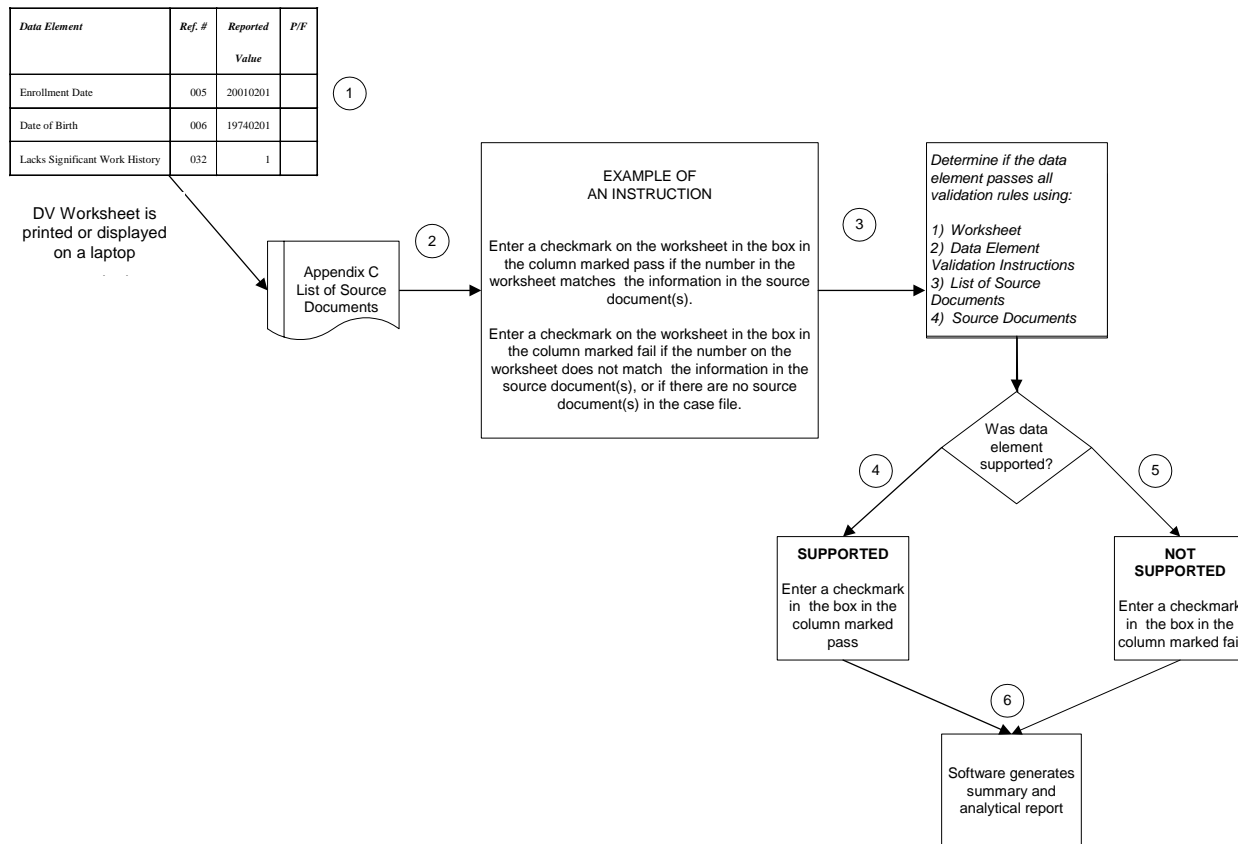
Step No.	Step Description	Who Performs Step
1	Once the validator has retrieved the case files for the sampled cases, the validator uses the worksheet to locate the first data element to be validated. For each sampled record, certain data elements will be printed on the worksheet. Fields for data that are not relevant to a particular record may be blank. For elements where data are present or where blanks must be validated, the validator locates the reference number. The reference number refers to the location of the validation instruction for that data element in Appendix C. Each data element instruction in Appendix C provides acceptable source documentation and an edited definition. The validator can document issues that may be helpful in future validations on the worksheet and the instructions. The validator proceeds through each data element for each sampled record in the same manner.	Validator
2	The validator obtains one or more of the source documents listed as an acceptable source to validate the element.	Validator
3	Following the instructions in Appendix C the validator determines whether the data element meets the validation criteria, based on the information in the source document(s).	Validator
4	If the data element is supported by/matches the source document(s), the validator records a pass in the appropriate box on the worksheet for that data element.	Validator
5	If the source document(s) does not support/match the data element or no source document(s) for the data element is in the case file, the validator records a fail in the appropriate box on the worksheet for that data element to indicate an error.	Validator
6	After each data element has been validated for every sampled record, the validator reviews the summary and analytical report generated by the software, and adds comments to the report as necessary.	Validator

II. VALIDATION PROCEDURES

FIGURE II.I

OVERVIEW OF DATA VALIDATION OF EXITERS

Method for validating each data element for each sampled record on the worksheet



III. RECORD LAYOUT

Attached is the record layout that should be used to create the extract file of TAA exiters as specified in Section B of Chapter II of the handbook. The file must be in ASCII, comma-delimited, or tab-delimited columns. Fields must be in the specified order and in the format listed on the record layout. Mandatory fields are specified. Blanks are acceptable in optional fields. However, blank or null values are not valid for mandatory fields and will result in the record being rejected.

Trade Act Assistance Record Layout

Extract file type is - ASCII, comma delimited columns. The record layout should be used to create a reconstruction file of all TAA exiters in the report period being validated. Data must be in the order and format listed in the Data Type/Format column. The Data Type/Format column also indicates the generic values for text fields. All fields listed as mandatory are required fields.

<i>Number</i>	<i>Field Name</i>	<i>Field Description</i>	<i>Data Type/Format</i>
1	OBS	Sequential number, starting at 1	Number (Mandatory)
2	State Name	Record the full name of the reporting State.	Text (Mandatory)
3	Individual Identifier	The State should develop a process for assigning a nine-character identification number to each person. This identification number may be an encrypted Social Security number or another identification number developed by the State. This identification number for a person should be the same for every period of participation and in every local area and statewide program in the State. The identifier may have both numeric and alphabetic characters, and must be between 1 and 9 characters long.	Number: 000000000
4	Date of Birth	Record the individual's date of birth in the following format: YYYYMMDD. NOTE: this is changed from the original TAPR which used the MMDDYYYY format.	Date: YYYYMMDD
5	Gender	Record the individual's gender.	Number: 1= Male 2= Female
6	Individual with a disability	Record the code which indicates the individual's disability status.	Number: 1 = Yes, but not a substantial barrier to employment 2 = Yes, and a substantial barrier to employment 3 = No, individual does not have a disability
7	Ethnicity - Hispanic or Latino	A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race. The term "Spanish origin" can be used in addition to "Hispanic or Latino."	Number: 1 = Yes 2 = No
8	American Indian or Alaska Native	A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.	Number: 1 = Yes 2 = No

<i>Number</i>	<i>Field Name</i>	<i>Field Description</i>	<i>Data Type/Format</i>
9	Asian	A person having origins in any of the original people of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.	Number: 1 = Yes 2 = No
10	Black or African American	A person having origins in any of the black racial groups of Africa. Terms such as "Haitian" or "Negro" can be used in addition to "Black or African American."	Number: 1 = Yes 2 = No
11	Native Hawaiian or Other Pacific Islander	A person having origins in any of the original people of Hawaii, Guam, Samoa, or other Pacific Islands.	Number: 1 = Yes 2 = No
12	White	A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.	Number: 1 = Yes 2 = No
13	Veteran status	Record the code that indicates whether the individual served in the active U.S. military, naval, or air service for a period less than or equal to 180 days, and who was discharged or released from such service under conditions other than dishonorable, or whether the individual met the conditions above for more than 180 days.	Number: 1 = 180 days or less 2 = over 180 days 3 = No
14	Limited English language proficiency	Record the proficiency status of the individual: 1= An individual who has limited ability in speaking, reading, writing or understanding the English language and (a) whose native language is a language other than English or (b) who lives in a family or community environment where a language other than English is the dominant language. 2= Does not meet any of the criteria in (1) above.	Number: 1= Yes 2= No
15	Unemployment compensation status	Record the code indicating which of the following classifications best describes the individual's UC status at time of application: 1. Claimant: an individual who has filed a claim and has been determined monetarily eligible for benefit payments under one or more State or Federal unemployment compensation programs, and who has not exhausted benefit rights or whose benefit period has not ended. 2. Exhaustee: an individual who has exhausted all UC benefit rights for which he/she has been determined monetarily eligible, including extended supplemental benefit rights. 3. None	Number: 1= Claimant 2= Exhaustee 3= None
16	Pell Grant recipient	Record whether the individual has been notified that he/she will be receiving a Pell Grant.	Number: 1= Yes 2= No

<i>Number</i>	<i>Field Name</i>	<i>Field Description</i>	<i>Data Type/Format</i>
17	Highest school grade completed	Enter the highest school grade completed by the individual, using the following codes:	Number: 00 = No School 01-11 = Number Elementary/Secondary Grades Completed 12 = High School Graduate 88 = Attained certificate of equivalency for HS 13-15 = Number of school years completed 16 = Bachelor's Degree 17 = Education beyond Bachelor's degree
18	Most recent qualifying separation	Record the most recent date of separation from trade-impacted employment that qualifies the individual to receive benefits and/or services under the Trade Act. Use the YYYYMMDD format.	Date: YYYYMMDD
19	Tenure with employer at qualifying separation	Record the total number of months that the applicant was employed with the employer of record as of the applicant's most recent qualifying separation.	Number: 000
20	Date of application	Record the date, using YYYYMMDD format, on which the individual first applied for Trade Act services/benefits under the applicable certification.	Date: YYYYMMDD
21	Petition number	Record the petition number of the certification which applies to the individual's worker group. If there is more than one petition number (for example, certifications under both the TAA and NAFTA-TAA programs), record the petition number of the program from which the training is paid, unless a waiver was issued. Do NOT include any alphabetic suffix; record the petition number only.	Number:
22	Program of participation	Enter the program under which the individual received services and benefits, using the following codes:	Number: 1= TAA 2= NAFTA-TAA 3= Both
23	Date of participation	Record the date (using YYYYMMDD) on which the individual BEGAN to receive Trade Act-funded program benefits and/or services. An applicant becomes a participant upon first receipt of basic training (including travel and/or subsistence), TRA, job search allowance, or relocation allowance.	Date: YYYYMMDD

<i>Number</i>	<i>Field Name</i>	<i>Field Description</i>	<i>Data Type/Format</i>
24	Date entered training	Record the date (using YYYYMMDD format) when the participant's approved training began. NOTE: Trade Act-approved training which begins under the WIA dislocated worker program may have a date entered training that is earlier than the participant's application date	Date: YYYYMMDD
25	Date completed, or withdrew from, training	Record the date (using YYYYMMDD format) when the participant completed training or withdrew permanently from training.	Date: YYYYMMDD
26	Training completed	Record the appropriate code	Number: 1= Yes 2= No
27	Travel while in training	Record the appropriate code	Number: 1= Yes 2= No
28	Subsistence while in training	Record the appropriate code	Number: 1= Yes 2= No
29	Occupational skill training code	If the participant received any occupational skill training, record the 9-digit DOT code, the 5-digit OES code, or the 5- or 6-digit O*NET code that best describes the occupation that the training leads to. If the participant received classroom training, the 6-digit CIP code may also be used. If the participant's training was not related to any specific occupational skills, record 999999999.	Alphanumeric:
30	Occupational code system	Record the code system used in 29 above.	Number: 0= None 1= 5-digit OES code 2= 5- or 6-digit O*NET code 3= 6-digit CIP code 4= 9-digit DOT code
31	Received occupational skills (classroom) training	Record whether the participant received occupational (classroom) training.	Number: 1= Yes 2= No
32	Received on-the-job training	Record whether the participant received on-the-job training.	Number: 1= Yes 2= No
33	Received remedial training	Record whether the participant received remedial training.	Number: 1= Yes 2= No

<i>Number</i>	<i>Field Name</i>	<i>Field Description</i>	<i>Data Type/Format</i>
34	Trade Readjustment Allowance (TRA)	Record whether the participant received any Trade Readjustment Allowances (TRA).	Number 1= Basic TRA 2= Additional TRA 3= Both basic and additional TRA 4= Did not receive any TRA.
35	Waiver from training requirement	Record whether the participant received a waiver from the training requirement: 1= Received a waiver from the training requirement in order to receive basic TRA (TAA program only) 2= Did not receive a waiver	Number: 1= Yes 2= No
36	Job search allowance	Record whether the participant received a job search allowance.	Number: 1= Yes 2= No
37	Relocation allowance	Record whether the participant received a relocation allowance.	Number: 1= Yes 2= No
38	Date of registration	If the participant was registered for a WIA Title I program, record the date (using YYYYMMDD format) of the registration.	Date: YYYYMMDD
39	Other Federal coenrollment	Record whether the participant was coenrolled in any of the following Federal programs: NOTE: Receipt of a Pell Grant is no longer recorded in this field, as it was in the original TAPR. Use field 16 to record Pell Grant status.	Number: 0= Not coenrolled 1= DW 2= National Emergency Grant 3= Both 1 and 2 4= Other, in addition to 1 and/or 2 5= Other, not including either 1 or 2
40	Date of exit	Record the last date on which Trade Act-funded services or WIA Title I partner services were received by the participant. There are two ways to determine exit: 1. A participant who has a date of completion or known exit from Trade Act-funded services (or, if later, from WIA Title I-funded services for coenrollees) (hard exit), or 2. A participant who does not receive any Trade Act-funded or non-TAA partner services for 90 days and is not scheduled for future services (soft exit) NOTE: this definition is functionally equivalent to the definition of terminnee in the original TAPR.	Date: YYYYMMDD
41	Employed in first full quarter after exit	Record whether the participant was employed in the first full quarter after exit.	Number: 1=Yes 2= No

<i>Number</i>	<i>Field Name</i>	<i>Field Description</i>	<i>Data Type/Format</i>
42	Occupational code (if available)	Record the occupational code that best describes the exiter's employment. Occupation can be recorded using 8-digit O*NET codes, 5-digit OES codes, or 9-digit DOT codes.	Alphanumeric:
43	Occupational code system	Record the system of occupational codes used in field 42 above: NOTE: because the DOT code system is being phased out, the use of OES or O*NET codes is strongly encouraged.	Number: 0= None 1= 5-digit OES code 2= 5- or 6-digit O*NET code 3= 6-digit CIP code 4= 9-digit DOT code
44	Employed in third full quarter after exit	Record whether the participant was employed in the third full quarter after exit.	Number: 1 = Yes 2 = No 3 = Individual has exited, but employment information is not yet available
45	Three quarters prior to most recent qualifying separation	Earnings in the third full quarter prior to the participant's most recent qualifying separation.	Number: 00000.00
46	Two quarters prior to most recent qualifying separation	Earnings in the second full quarter prior to the participant's most recent qualifying separation.	Number: 00000.00
47	First quarter following exit	Earnings in the first full quarter after the participant has exited.	Number: 00000.00
48	Second quarter following exit	Earnings in the second full quarter after the participant has exited.	Number: 00000.00
49	Third quarter following exit	Earnings in the third full quarter after the participant has exited.	Number: 00000.00
50	Recalled by layoff employer	Record whether the participant was recalled by the employer where the qualifying separation took place.	Number: 1= Yes 2= No
51	Sampling Unit	Indicate the sampling unit number of the office from which the participant was provided services.	Number
52	WIB Name	Indicate the WIB name of the office from which the participant was provided services.	Text
53	Office Name	Indicate the office name from which the participant was provided services.	Text
54	Case Manager	Indicate the case manager form which the participant was provided services	Text
55	User Field	User-defined field.	Text

APPENDIX A

PERFORMANCE MEASURE SPECIFICATIONS

APPENDIX A

PERFORMANCE MEASURE SPECIFICATIONS

This appendix provides the specifications used by the software to assign the TAA exiters to performance outcome groups and to calculate the entered employment, retention, and earnings replacement rates.

I. PERFORMANCE OUTCOME GROUP SPECIFICATIONS

The specifications in this section explain how the validation software logically groups records in the validation import file into seven possible measurement outcomes based on the worker's employment status in the first and third quarters after exit, and the source of their employment status information. Using a formatted source file, the software determines the number of participants who fit each category and computes these three performance measures. Exhibit A.1 shows the possible outcomes.

- 1) The entered employment measure is based on whether the exiter entered employment.
- 2) The retention measure is based on employment status during the third quarter after exit for exiters who entered employment.
- 3) The earnings replacement rate is based on the change from pre-program to post-program earnings.

Wage records are the primary data source for determining employment in the first and third quarters after exit. If participants are not found in the wage records, supplemental sources can be used to establish employment. However, participants whose employment is established from supplemental sources are excluded from the earnings replacement rate.

Participants whose employment and retention status was established solely through wage records are included in performance outcome groups 1 and 5. Participants whose employment status was established at least partly through supplemental sources are included in performance outcome groups 2, 3, 4 and 6. If states do not have or use supplemental sources of information on employment, performance outcome groups 2, 3, 4 and 6 will not contain any records. In such situations, estimates of performance will be based solely on wage record data.

Columns 6 through 10 show how the count of TAA exiters in each group (or the sum of their earnings for the earnings replacement measure) is used to calculate each performance measure. Participants in group 1 appear in the numerators and denominators of the entered employment rate and the retention rate and they are included in the calculation for the earnings replacement rate. Participants in groups 2 through 4 appear in the numerators and denominators of the entered employment rate and the retention rate but they are not included in the calculation for the earnings replacement rate.

Participants in group 5 appear in the numerator and denominator of the entered employment rate, the denominator of the retention rate and in the calculation for the earnings replacement rate. Participants in group 6 appear in the numerator and denominator of the entered employment rate, and the denominator of the retention rate, but they are not included in the calculation for the earnings replacement rate. Participants in group 7 only appear in the denominator of the entered employment rate.

EXHIBIT A.1

SEVEN GROUPS OF TAA EXITERS USED TO CALCULATE
ENTERED EMPLOYMENT, RETENTION AND EARNINGS REPLACEMENT RATE

Participant Characteristics				Use of Each Group in Performance Measures						Earnings Replacement Rate
Group	Employment Status at Registration	2	3	4	5	Entered Employment		Retention		Participant Earnings Included in Calculation of Measure
						Count of Participants Included in Numerator	Count of Participants Included in Denominator	Count of Participants Included in Numerator	Count of Participants Included in Denominator	
1	Worker	YES	If Employed in First Quarter, Wage Records or Other Sources Wage Records	Employed Third Quarter After Exit Quarter YES	If Employed in Third Quarter, Wage Records or Other Sources Wage Records	YES	YES	YES	YES	YES
2	Worker	YES	Wage Records	YES	Supplementary Source	YES	YES	YES	YES	NO
3	Worker	YES	Supplementary Source	YES	Wage Records	YES	YES	YES	YES	NO
4	Worker	YES	Supplementary Source	YES	Supplementary Source	YES	YES	YES	YES	NO
5	Worker	YES	Wage Records	NO	NA	YES	YES	NO	YES	YES
6	Worker	YES	Supplementary Source	NO	NA	YES	YES	NO	YES	NO
7	Worker	NO	NA	NA	NA	NO	YES	NO	NO	NO

II. PERFORMANCE MEASURE CALCULATION SPECIFICATIONS

The following specifications detail how ETA calculates the TAA performance measures using the TAPR submission. These specifications are also used by the validation software in calculating the three TAA measures.

Office of National Response

Trade Adjustment Assistance Performance Measures

TAA - Performance Measure

<i>Number</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specifications</i>
1	Entered Employment	Number of TAA exiters who entered employment by the end of the first quarter after exit divided by the number who exited during the reporting period.	Numerator: Count of unique INDIVIDUAL IDENTIFIERS where DATE OF EXIT is within the reporting period and EMPLOYED IN FIRST FULL QUARTER AFTER EXIT = 1. Denominator: Count of unique INDIVIDUAL IDENTIFIERS where DATE OF EXIT is within the reporting period.
2	Six Months - Retention Rate	Of those TAA exiters who entered employment in the first quarter after exit: Number of TAA exiters who are employed in the third quarter after exit divided by the number who exited during the reporting period.	Numerator: Count of unique INDIVIDUAL IDENTIFIERS where DATE OF EXIT is within the reporting period and EMPLOYED IN FIRST FULL QUARTER AFTER EXIT = 1. Denominator: Count of unique INDIVIDUAL IDENTIFIERS where DATE OF EXIT is within the reporting period and EMPLOYED IN FIRST FULL QUARTER AFTER EXIT = 1.
3	Six Months - Earnings Replacement Rate	Of those TAA exiters who entered employment in the first quarter after exit: Total Post-Program Earnings (earnings in quarter 2 + quarter 3 after exit) divided by Pre-Separation Earnings (earnings in quarter 2 and 3 prior to the most recent qualifying separation).	Numerator: Sum of (SECOND QUARTER FOLLOWING EXIT and THIRD QUARTER FOLLOWING EXIT) where DATE OF EXIT is within the reporting period and EMPLOYED IN FIRST FULL QUARTER AFTER EXIT = 1 and FIRST QUARTER FOLLOWING EXIT > 0 and (EMPLOYED THIRD FULL QUARTER AFTER EXIT = 1 and THIRD QUARTER FOLLOWING THE EXIT > 0) or EMPLOYED THIRD FULL QUARTER AFTER EXIT = 2). Denominator: Sum of (TWO QUARTERS PRIOR TO MOST RECENT QUALIFYING SEPARATION and THREE QUARTERS PRIOR TO MOST RECENT QUALIFYING SEPARATION) where DATE OF EXIT is within the reporting period and EMPLOYED IN FIRST FULL QUARTER AFTER EXIT = 1 and FIRST QUARTER FOLLOWING EXIT > 0 and (EMPLOYED THIRD FULL QUARTER AFTER EXIT = 1 and THIRD QUARTER FOLLOWING THE EXIT > 0) or EMPLOYED THIRD FULL QUARTER AFTER EXIT = 2).

APPENDIX B

DATA VALIDATION SAMPLING AND ERROR RATE ESTIMATION

APPENDIX B

DATA VALIDATION SAMPLING AND ERROR RATE ESTIMATION

The primary objectives of data validation are (1) to identify the sources of error (that is, which data elements or which kinds of cases are more prone to error) and (2) to provide information on error for selected data elements whether or not they are used to measure performance.

States select samples of exiter records to measure the error rate of the important data elements. This sample is selected from the records of TAA exiters included in states' four TAPR submissions for the fiscal year. This appendix discusses the general approach to sampling and error rate estimation (section A) and detailed sampling specifications for TAA (section B).

A. GENERAL APPROACH

Error rates are calculated in two ways. The overall error rate equals the total number of records in error divided by the number of records that are sampled, weighted to account for the over- and under-sampling of particular types of records. Because particular data elements may not be present in every sampled record, the reported data error rate includes in the denominator only those records for which a particular data element was validated. With this method of calculation, the error rates equal the total number of records in error divided by the number of records for which the particular data element was validated, weighted to account for the over- and under-sampling of particular records. For example, if 100 records are sampled, only 50 have a particular data element, and there are 5 errors, the overall error rate would be 5 divided by 100, or 5 percent, and the reported data error rate would be 5 divided by 50, or 10 percent.¹

Sample sizes vary by state, with smaller states having smaller samples than larger states for two reasons. First, to achieve a given level of precision, smaller states need smaller sample sizes than larger states. Second, to reduce the burden on smaller states, precision requirements are relaxed.

The sample design involves clustering the sample in a small number of offices and differential sampling rates by type of record. This design yields estimates that have a variance that exceeds the variance of a simple random sample. Currently, we assume the variance to be twice that of a simple random sample (a "design effect" of 2). After data validation is implemented, an analysis will be conducted to estimate the true design effect and to determine how much it varies from current estimates. The results of that analysis will be used to refine the sample design.

¹This calculation is not weighted.

The ETA validation software uses information on the distribution of exiters by office to select samples of offices and then of exiters from these offices.² Finally, the software uses the validation results from the sampled records to produce error rate estimates.

B. SAMPLING FOR DATA VALIDATION

To limit the burden validation imposes on states and the local offices while also providing sufficiently precise results, records of TAA exiters submitted to ETA during the fiscal year are sampled to measure error rates for data elements.³ The validation software selects samples by creating a clustered, stratified sample.⁴ The software first selects a sample of offices.⁵ From the sampled offices, the software selects samples of records. The size of the samples varies by state with precision estimates for small states reduced to minimize the burden validation imposes on them.

To determine which offices to sample, the software weights the records for each office. The weights are based on the risk that the data are incorrect and the importance of the record for measuring performance. Employment and the source of employment information are the variables that present the greatest risk of error and that are the most important for calculating performance. Supplemental sources for wages are the riskiest data, followed by wage records. Data that indicate that an individual is unemployed present the least risk. Based upon this risk assessment, records that use supplemental sources to demonstrate an individual's employment in the first quarter and/or third quarter after exit receive a weight of 3. Records that use wage records to demonstrate an individual's employment receive a weight of 2, and records for individuals who are unemployed receive a weight of 1.

² Office refers to the physical location of the participant's case file, which may include the One-Stop office, a community college, a high school, etc.

³ The fiscal year is from October 1st - September 30th. Because of the time lag to obtain wage records, participants in the TAPR submission exited five quarters prior to the reporting quarter. For example, the TAPR submissions for fiscal year 2003 are submitted for reporting quarters between October 1, 2002 and September 30, 2003. The participants included in these submissions exited between July 1, 2001 and June 30, 2002.

⁴ Clustering involves first sampling an aggregate unit and then selecting the units being studied only from within the selected aggregate units. In this case, we want to study the records of TAA exiters. Because of the potential burden imposed by traveling to every office within a state, the software will first select a sample of offices and then select records from those sampled offices.

Stratification involves grouping all the units being studied into strata and sampling randomly from each group. Each stratum, however, is not necessarily sampled equally.

⁵ Some states may receive data by Workforce Investment Boards (WIBs), not by offices. In this case, the software selects WIBs as the primary sampling unit instead of offices.

The software creates a weight for each office by summing the weights of each of the office's records. The software then selects offices with a probability of selection proportional to the weight of the offices. The number of offices (n) selected is a function of the number of offices in the entire state (N). The more offices sampled, the greater the accuracy of the estimates. As more offices are sampled the burden that validation imposes on the state increases.

Column A in Table B.1 provides ranges for the number of offices in a state. Column B provides the number of offices sampled. Thus, for a large state with 250 or more offices, the software selects 30 offices, as shown in Row 1 of Table B.1. For a medium sized state with 80 offices the software selects 15 offices, as shown in Row 4 of Table B.1.

TABLE B.1
OFFICE SAMPLING

	Number of Offices in State (N)	Number of Offices Sampled (n)
	A	B
1	250 or more	30
2	200-249	25
3	100-199	20
4	75-99	15
5	30-74	10
6	7-29	7
7	Fewer than 7	All

The software automatically selects any office(s) that accounts for 1/n or more of the total weight of the records for the group being sampled.⁶ For example, if a state has 35 offices, the software will select 10 offices. Any office(s) that accounts for one-tenth—that is, 10 percent—or more of the state's total weight of records is automatically selected. The remaining offices will be randomly selected with their probability of selection proportional to the weight of the office.

Next, the software selects the individual records to validate by selecting a sample of records from the sampled offices. The probabilities of selection are proportional to the weights assigned to each record. Consequently, a greater proportion of records with

⁶The initial weights and number of offices are estimates. The early implementation will provide data to determine if the estimates are correct. If the information gained from these studies suggests that the estimates are incorrect, they will be adjusted accordingly.

supplemental wage data will be selected than would be selected in a simple random sample.

Table B.2 illustrates how the software determines the sample size. Column A provides ranges for the number of exiters. Depending upon the number of exiters, the software selects a level of precision, shown in Column B.⁷ Column C provides a range for the number of records to be sampled for data validation. For example, as can be seen in Row 1, if a state has 480 exiters, the software selects a sample of records between 100 and 180 records to validate to provide a level of precision of 3.5 percent.

TABLE B.2
EXITER RECORD SAMPLING

	A	B	C
	# of Exiters	Half-Length of the Confidence Interval ⁸	Range of Sample
1	300 or greater	3.5%	100-180 ⁹
2	0-299	4%	0-113

After the sampled records are validated, the software determines the error rates for the data elements. Because the software clusters and stratifies the samples, it must weight the validation results. Using these weights, the software determines the weighted error rates.

⁷Precision is determined by the half-length of the confidence interval. Confidence intervals measure the accuracy of the estimate. For example, a data element might have a 7 percent +/- 2 percent error rate. The 2 percent is the half-length of the confidence interval. In this example, the confidence interval means that the actual error rate is between 5 percent and 9 percent.

⁸Several factors must be incorporated into the calculation of the confidence interval. Because of the small sample size, the finite population correction (fpc) needs to be incorporated into the calculations. Assumptions about the accuracy of the error estimate are also incorporated; the calculations assume a confidence interval at a 0.05 level for a two-tail test.

⁹The sample size would not exceed 180 exiters.

APPENDIX C

DATA VALIDATION INSTRUCTIONS

APPENDIX C

DATA VALIDATION INSTRUCTIONS

Appendix C provides instructions for validating each data element for which validation is required.

The instructions for each data element have the following components:

Data Element: Characteristics of the participant being validated. Corresponds to the data elements on the record layout and the validation worksheet.

Ref#: Corresponds to the reference number of the data element on the worksheet.

Format: Format for each element as specified in the record layout.

Definition: Definition of the data element being validated.

Federal Sources: The definitive federal sources of information for validating each data element as recommended by the TAA national program office.

State Version of Sources: The state version of the sources of information for validating each data element.

Validation Rules: Rules that instruct the validator on how to validate each data element listed on the worksheet.

Please refer to Chapter II, Section D – Data Validation – for detailed information on using these instructions to conduct data validation.

TAA Data Validation Instructions

Validation Instruction: These instructions present the data elements, reference numbers, formats, element definitions, federal sources, and validation rules needed to perform data element validation. The federal sources are the generic, federally recommended source documentation. The "State Version of Sources" column can be used to enter state-specific versions of the federally approved documentation.

Two types of validation rules exist:

1. If the validation instruction says **MATCH**: Enter a checkmark in the box in the pass column if the data on the worksheet match the data in the source documentation. Enter a checkmark in the box in the fail column if the data on the worksheet do not match the data in the source documentation or if no source documentation is found.

To match, the data on the worksheet must be the same as the data in the source documentation. For example, if the worksheet says a participant's date of birth is July 1, 1975, then the source documentation must also have July 1, 1975 as the birth date.

2. If the validation instruction says **SUPPORT**: Enter a checkmark in the box in the pass column if the data on the worksheet are supported by the data in the source documentation. Enter a checkmark in the box in the fail column if the data on the worksheet are not supported by the data in the source documentation or if no source documentation is found.

To support, the data on the worksheet must be similar to the data in the source documentation. This instruction is used when information must be interpreted or processed before it can be applied to the participant's records. For example, source documentation can support basic skills deficient.

Data Element	Ref #	Format	Definition	State Version	
				of Sources	Validation Rules
Date of Birth	01	Date: YYYYMMDD	Record the individual's date of birth in the following format: YYYYMMDD. NOTE: this is changed from the original TAPR which used the	Copy of ID; Baptismal Record; Birth Certificate; DD-214; Report of Transfer or Discharge Paper; Drivers	Match

<i>Data Element</i>	<i>Ref #</i>	<i>Format</i>	<i>Definition</i>	<i>Federal Sources</i>	<i>State Version of Sources</i>	<i>Validation Rules</i>
			MMDDYYYY format.		License; Federal, state, or Local ID; Hospital Record of Birth; Passport; Public Assistance/Social Service Records; School Record/ID Card; Work Permit	
Veteran status	02	Numeric: 1 = 180 days or less 2 = over 180 days 3 = No	Record the code that indicates whether the individual served in the active U.S. military, naval, or air service for a period less than or equal to 180 days, and who was discharged or released from such service under conditions other than dishonorable, or whether the individual met the conditions above for more than 180 days.	DD-214; Cross-match with Veterans Data; Cross-match with Wagner-Peyser; state management information system.		Support
Unemployment compensation status	03	Numeric: 1= Claimant 2= Exhaustee 3= None	Record the code indicating which of the following classifications best describes the individual's UC status at time of application: 1. Claimant: an individual who has filed a claim and has been determined monetarily eligible for benefit payments under one or more State or Federal unemployment compensation programs, and who has not exhausted benefit rights or whose benefit period has not ended. 2. Exhaustee: an individual who has exhausted all UC benefit rights for which he/she has been determined monetarily eligible, including extended supplemental benefit rights. 3. None.	UI Cross-Match; state management information system; self-attestation; WIA application form.		Support
Pell Grant recipient	04	Numeric: 1= Yes 2= No	Record whether the individual has been notified that he/she will be receiving a Pell Grant	Original Department of Education documents at training vendor; financial aid documentation or grant documentation in case file.		Support

<i>Data Element</i>	<i>Ref #</i>	<i>Format</i>	<i>Definition</i>	<i>Federal Sources</i>	<i>State Version of Sources</i>	<i>Validation Rules</i>
Most recent qualifying separation	05	Date: YYYYMMDD	Record the most recent date of separation from trade-impacted employment that qualifies the individual to receive benefits and/or services under the Trade Act. Use the YYYYMMDD format	Layoff lists or rapid response list; determination of eligibility form; notice of termination; letter from employer.		Match
Date of application	06	Date: YYYYMMDD	Record the date, using YYYYMMDD format, on which the individual first applied for Trade Act services/benefits under the applicable certification.	Application in case file; state management information system; WIA registration form; determination of eligibility form		Match
Petition number	07	Numeric:	Record the petition number of the certification which applies to the individual's worker group. If there is more than one petition number (for example, certifications under both the TAA and NAFTA-TAA programs), record the petition number of the program from which the training is paid, unless a waiver was issued. Do NOT include any alphabetic suffix; record the petition number only.	Worker group certification in case file; State management information system; UI records; DOLETA website; determination of eligibility form.		Match
Date of participation	08	Date: YYYYMMDD	Record the date (using YYYYMMDD) on which the individual BEGAN to receive Trade Act-funded program benefits and/or services. An applicant becomes a participant upon first receipt of basic training (including travel and/or subsistence), TRA, job search allowance, or relocation allowance.	Cross-match between dates of service and vendor training info in case file; the date of first TRA check obtainable from the state's UI records; state management information system; training plan;		Match

<i>Data Element</i>	<i>Ref #</i>	<i>Format</i>	<i>Definition</i>	<i>Federal Sources</i>	<i>State Version of Sources</i>	<i>Validation Rules</i>
Date entered training	09	Date: YYYYMMDD	Record the date (using YYYYMMDD format) when the participant's approved training began. NOTE: Trade Act-approved training which begins under the WIA dislocated worker program may have a date entered training that is earlier than the participant's application date	Vendor training documentation in case file; state management information system; training plan		Match
Date completed, or withdrew from, training	10	Date: YYYYMMDD	Record the date (using YYYYMMDD format) when the participant completed training or withdrew permanently from training.	Vendor training documentation in case file; case notes; state management information system; attendance lists; UI records; WIA status form.		Match
Training completed	11	Numeric: 1= Yes 2= No	Record the appropriate code: 1= Yes, completed approved training course 2= No, did not complete (withdrew)	Vendor training documentation in case file; WIA status form; state management information system; case notes about communications with program; applicant statement; UI records.		Support
Travel while in training	12	Numeric: 1= Yes 2= No	Record the appropriate code: 1= Yes, received travel allowance while in training 2= No, did not receive a travel allowance	Weekly travel report; vendor information on location; attendance records; request for allowance form; training approval request form; state management information system.		Support
Subsistence while in training	13	Numeric: 1= Yes 2= No	Record the appropriate code: 1= Yes, received a subsistence allowance while in training 2= No, did not receive a subsistence allowance	Documentation in case file.; receipt of payment; landlord statement; state management information system; request for allowance form; request for training approval form.		Support

Data Element ***Ref #*** ***Format*** ***Definition*** ***Federal Sources*** ***State Version of Sources*** ***Validation Rules***

Occupational skill training code	14	Numeric: 0000000000	If the participant received any occupational skill training, record the 9-digit DOT code, the 5-digit OES code, or the 5- or 6-digit O*NET code that best describes the occupation that the training leads to. If the participant received classroom training, the 6-digit CIP code may also be used. If the participant's training was not related to any specific occupational skills, record 999999999.	State management information system; NAICS Code; O*NET or DOT/OES code description for training occupation; case notes; training plan; Training plan.	Match	
Occupational code system	15	Numeric: 0= None 1= 5-digit OES code 2= 5- or 6-digit O*NET code 3= 6-digit CIP code 4= 9-digit DOT code	Record the code system used in II.1f above as follows: 1= 5-digit OES code 2= 5- or 6-digit O*NET code 3= 6-digit CIP code (classroom training only) 4= 9-digit DOT code 0= None	State management information system; O*NET or DOT/OES code; NAICS Code.	Support	
Received occupational skills (classroom) training	16	Numeric: 1= Yes 2= No	Record whether the participant received occupational (classroom) training.	Vendor training documentation in case file; state management information system; WIA status form; training plan form; request for training approval form.	Support	
Received on-the-job training	17	Numeric: 1= Yes 2= No	Record whether the participant received on-the-job training.	Vendor training documentation in case file; state management information system; OJT master contract; Request for training approval form.	Support	
Received remedial training	18	Numeric: 1= Yes 2= No	Record whether the participant received remedial training.	Vendor training documentation in case file; training plan; request for training approval form; state management information system.	Support	

*State Version
of Sources*

Validation Rules

Federal Sources

Definition

Format

Ref #

Data Element

Trade Readjustment Allowance (TRA)	19	Numeric 1= Basic TRA 2= Additional TRA 3= Both basic and additional TRA 4= Did not receive any TRA.	Record whether the participant received any Trade Readjustment Allowances (TRA): 1= Received basic TRA 2= Received additional TRA 3= Received both basic and additional TRA 4= Did not receive any TRA.	State UI records of TRA checks issued; Request for allowance; state management information system.	Support
Waiver from training requirement	20	Numeric: 1= Yes 2= No	Record whether the participant received a waiver from the training requirement: 1= Received a waiver from the training requirement in order to receive basic TRA (TAA program only) 2= Did not receive a waiver	Case file documentation that includes initial approval and renewals at 30 day intervals; state UI records of TRA checks issued; form from employment counselor.	Support
Job search allowance	21	Numeric: 1= Yes 2= No	Record whether the participant received a job search allowance.	Receipt of services documentation in case file; state management information system.	Support
Relocation allowance	22	Numeric: 1= Yes 2= No	Record whether the participant received a relocation allowance.	Receipt of services documentation in case file; Request for relocation allowance form; state management information system.	Support
Date of registration	23	Date: YYYYMMDD	If the participant was registered for a WIA Title I program, record the date (using YYYYMMDD format) of the registration	WIA cross-match; WIA application/registration form; state management information system.	Match

Other Federal coenrollment	24	Numeric: 0= Not coenrolled 1= DW 2= National Emergency Grant 3= Both 1 and 2 4= Other, in addition to 1 and/or 2 5= Other, not including either 1 or 2	Record whether the participant was coenrolled in any of the following Federal programs: 1= WIA Title I dislocated worker program 2= WIA Title I National Emergency Grant program 3= Both 1 and 2 above 4= Other Federal job training (in addition to either 1 or 2 or both) 5= Other Federal job training (not including either 1 or 2) 0= Not coenrolled in any other Federal program NOTE: Receipt of a Pell Grant is no longer recorded in this field, as it was in the original TAPR. Use field I.11 to record Pell Grant status.	Documentation in case file; WIA application form; WIA status form; WIA cross- match; state management information system.	Support
Date of exit	25	Date: YYMMDD	Record the last date on which Trade Act-funded services or WIA Title I partner services were received by the participant. There are two ways to determine exit: 1. A participant who has a date of completion or known exit from Trade Act-funded services (or, if later, from WIA Title I-funded services for coenrollees) (hard exit), or 2. A participant who does not receive any Trade Act-funded or non-TAA partner services for 90 days and is not scheduled for future services (soft exit) NOTE: this definition is functionally equivalent to the definition of terminnee in the original TAPR.	Documentation in case file; state management information system; WIA exit form.	Match
Employed in first full quarter after exit	26	Numeric: 1= Yes 2= No	Record whether the participant was employed in the first full quarter after exit.	UI Wage Records; WRIS; Supplemental Data Sources as Defined in the TEGl 7-99; State management information system.	Support

<i>Data Element</i>	<i>Ref #</i>	<i>Format</i>	<i>Definition</i>	<i>Federal Sources</i>	<i>State Version of Sources</i>	<i>Validation Rules</i>
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Occupational code (if available)	27	Numeric: 0000000000	Record the occupational code that best describes the exiter's employment. Occupation can be recorded using 9-digit DOT codes, 5-digit OES codes, 5- or 6-digit O*NET codes.	State management information system; NAICS Code; O*NET or DOT/OES code description for training occupation; case notes; WIA Exit form.		Match
Occupational code system	28	Numeric: 0= None 1= 5-digit OES code 2= 5- or 6-digit O*NET code 3= 6-digit CIP code 4= 9-digit DOT code	Record the system of occupational codes used in field III.3 above: 1= 5-digit OES code 2= 5- or 6-digit O*NET code 3= 6-digit CIP code (classroom training only) 4= 9-digit DOT code 0= None NOTE: because the DOT code system is being phased out, the use of OES or O*NET codes is strongly encouraged.	State management information system; O*NET or DOT/OES code; NAICS Code.		Support
Employed in third full quarter after exit	29	Numeric: 1 = Yes 2 = No 3 = Individual has exited, but employment information is not yet available	Record whether the participant was employed in the third full quarter after exit.	UI Wage Records; WRIS; Supplemental Data Sources as Defined in the TEGL 7-99; State management information system.		Support Validate blank fields

State Version

<i>Data Element</i>	<i>Ref #</i>	<i>Format</i>	<i>Definition</i>	<i>Federal Sources</i>	<i>of Sources</i>	<i>Validation Rules</i>
Three quarters prior to most recent qualifying separation	30	Numeric: 00000.00	Earnings in the third full quarter prior to the participant's most recent qualifying separation	UI Wage Records; WRIS; other state wage records; federal wage databases.	Match	Validate blanks (The validator only needs to determine that the wages listed on the worksheet match the wages listed in the source documentation. It is not necessary to validate that the wages in the source documentation are correct.)
Two quarters prior to most recent qualifying separation	31	Numeric: 00000.00	Earnings in the second full quarter prior to the participant's most recent qualifying separation	UI Wage Records; WRIS; other state wage records; federal wage databases.	Match	Validate blanks (The validator only needs to determine that the wages listed on the worksheet match the wages listed in the source documentation. It is not necessary to validate that the wages in the source documentation are correct.)

<i>Data Element</i>	<i>Ref #</i>	<i>Format</i>	<i>Definition</i>	<i>Federal Sources</i>	<i>State Version of Sources</i>	<i>Validation Rules</i>
First quarter following exit	32	Numeric: 00000.00	Earnings in the first full quarter after the participant has exited.	UI Wage Records; WRIS; other state wage records; federal wage databases.		Match Validate blanks (The validator only needs to determine that the wages listed on the worksheet match the wages listed in the source documentation. It is not necessary to validate that the wages in the source documentation are correct.)
Second quarter following exit	33	Numeric: 00000.00	Earnings in the second full quarter after the participant has exited.	UI Wage Records; WRIS; other state wage records; federal wage databases.		Match Validate blanks (The validator only needs to determine that the wages listed on the worksheet match the wages listed in the source documentation. It is not necessary to validate that the wages in the source documentation are correct.)

<i>Data Element</i>	<i>Ref #</i>	<i>Format</i>	<i>Definition</i>	<i>Federal Sources</i>	<i>State Version of Sources</i>	<i>Validation Rules</i>
Third quarter following exit	34	Numeric: 00000.00	Earnings in the third full quarter after the participant has exited.	UI Wage Records; WRIS; other state wage records; federal wage databases.		Match Validate blanks (The validator only needs to determine that the wages listed on the worksheet match the wages listed in the source documentation. It is not necessary to validate that the wages in the source documentation are correct.)
Recalled by layoff employer	35	Numeric: 1= Yes 2= No	Record whether the participant was recalled by the employer where the qualifying separation took place.	Documentation in case file; cross-match of UI wage records; WIA exit form; state management information system.		Support

APPENDIX D
SOFTWARE INSTALLATION

This appendix provides instructions on how to install the TAA software.

Task 1—Uninstalling the Application

Before you install a new version of the TAA software, it is recommended that you uninstall the existing version of the software. Please follow the normal process for uninstalling software on your computer.

To uninstall the TAA software using Windows 2000 or Windows XP, select Start, then Settings, then Control Panel. In the Control Panel, double click on Add/Remove Programs. Click on TAA. Then, click on Change/Remove. Follow the InstallShield instructions to remove the software.

Users may need to contact their system administrator in order to uninstall the application.

Task 2—Load CD ROM/Download Software

Before starting installation of the software, quit any other programs that may be running. Insert the setup CD into the CD-ROM drive or download the software to your PC from the Internet at www.uses.doleta.gov/dv. Do not download the software to your C:\Program Files folder as this is the default installation location.

Click on “setup.exe”. The InstallShield Wizard window will pop up. Click on the “Next” button. Complete the Customer Information window as necessary, and click on “Next.” Users may need to contact their system administrator in order to install the application.

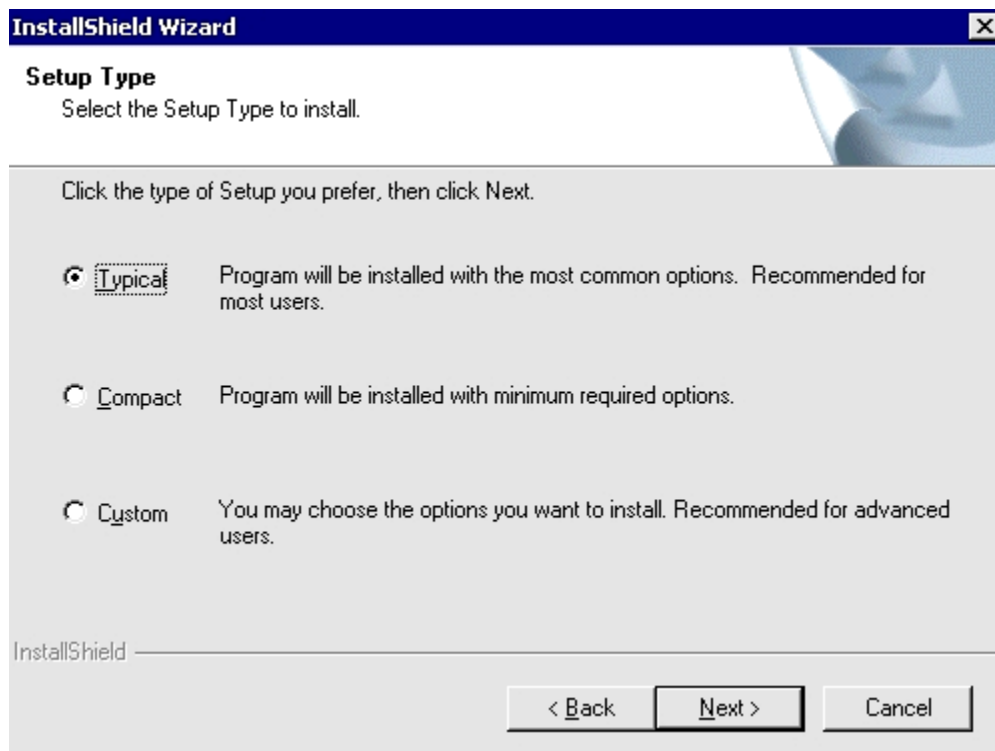
Minimum system requirements:

Operating System - Microsoft Windows 97 or better
RAM - 128 megabytes
Disk Space - 250 megabytes
Processor - 100 mhz Pentium III (or equivalent processor)
Suggested screen area - 800x600

Task 3—Choose Destination Location

The Choose Destination Location window of the InstallShield Wizard Setup allows the user to select the installation directory. The software defaults to C:\Program Files\TAA as shown in the Destination Folder text box. To install the software in a different folder, click on the “Browse” function and navigate to the desired location. Make note of the software directory that is selected if using a location other than the default C:\Program Files\TAA.

Even if you have completely uninstalled a previous version of the software, it is possible that there are registry remnants that can be detected by the InstallShield Wizard. Consequently, the Setup Type screen may appear. If the Setup Type screen does appear, select Typical and then click Next. If this screen does not appear, simply follow the ensuing prompts by clicking “Next”, as the Setup Type window is not a required element for successful installation.



The Start Copying Files window appears next. You do not need to change any settings in this window, so click “Next”. When installation is complete, the InstallShield Wizard Complete window will pop up. This screen may prompt you to restart your computer.

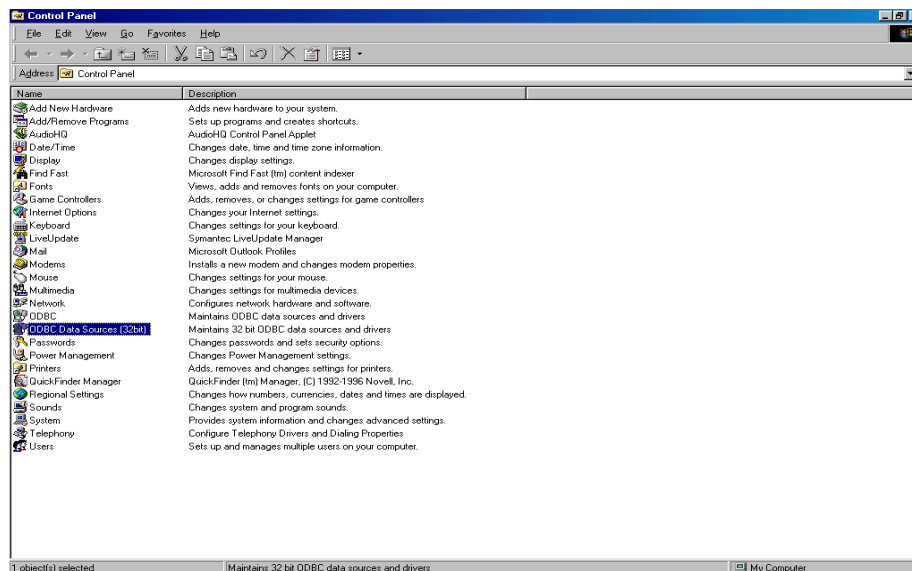
Task 4—Restarting Computer

After completing the TAA InstallShield Wizard installation setup, reboot your computer before continuing any further. If the InstallShield Wizard Complete window does not prompt you to restart your computer, simply restart the computer as you would normally.

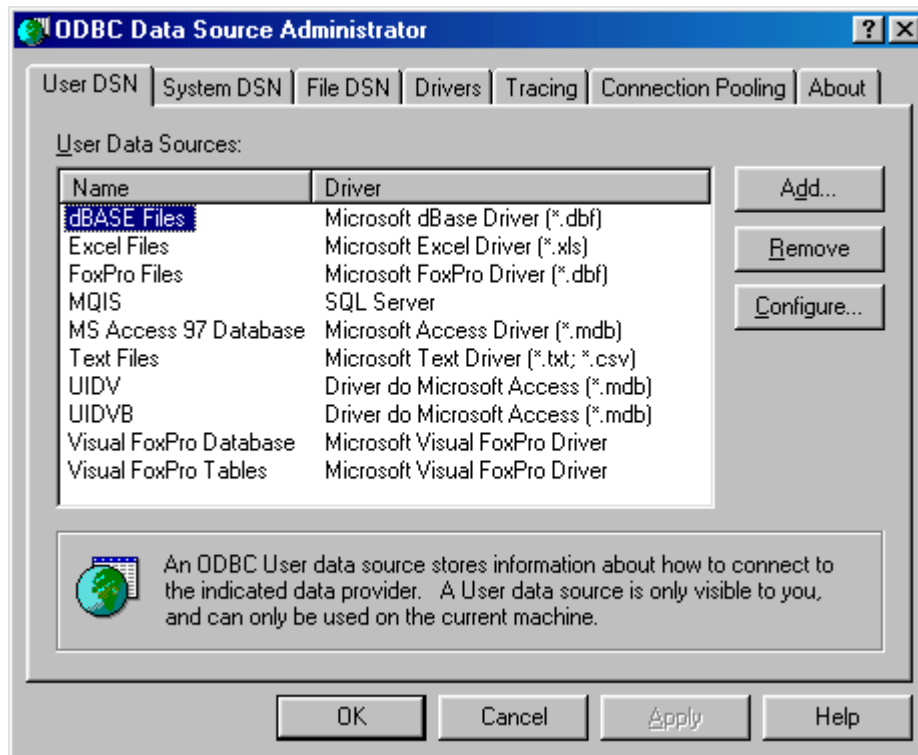
Task 5—Select the Driver – For MS ACCESS Database

The InstallShield Wizard automatically selects the ACCESS database driver during the initial installation. However, users will need to follow Task 5 to add a database, access the demo database, change the default database or install the application somewhere besides the default location.

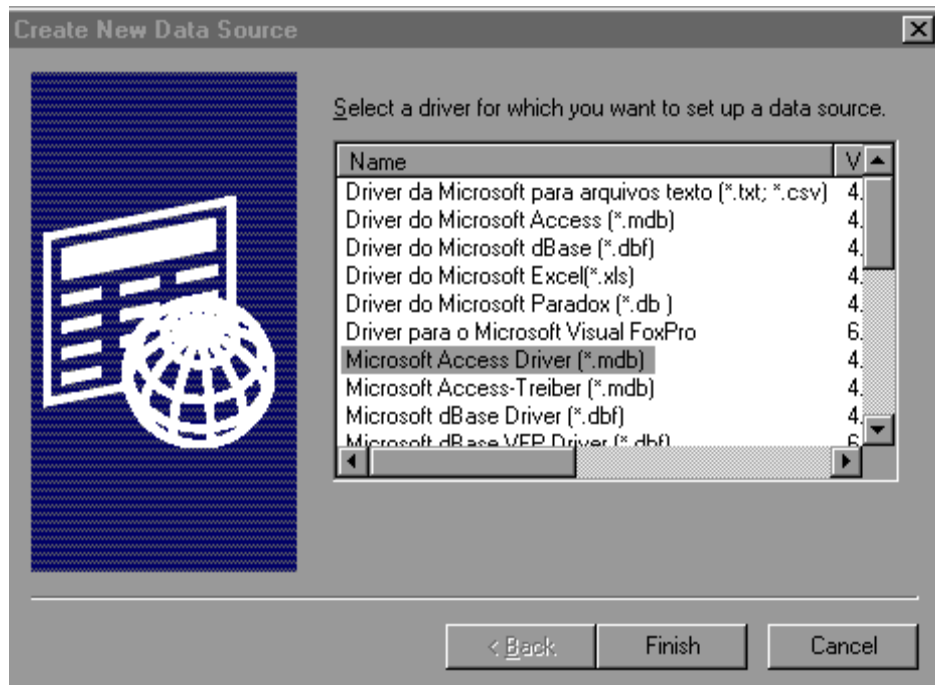
Go to the Settings – Control Panel and select ODBC Data Sources {32bit} if using Windows 98. If using Windows 2000, select Administrative Tools and then Data Sources (ODBC). Double click.



In the ODBC Data Source Administrator window, go to the User DSN tab and click “Add,” regardless of the data source name that is highlighted.

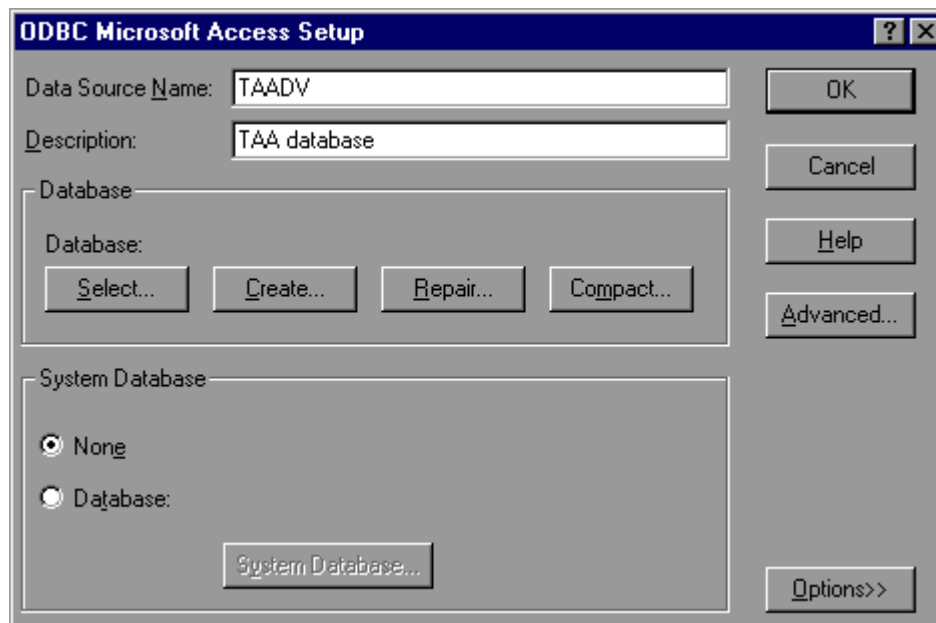


In the Create New Data Source window, select the Microsoft Access Driver (.mdb) and click “Finish.”



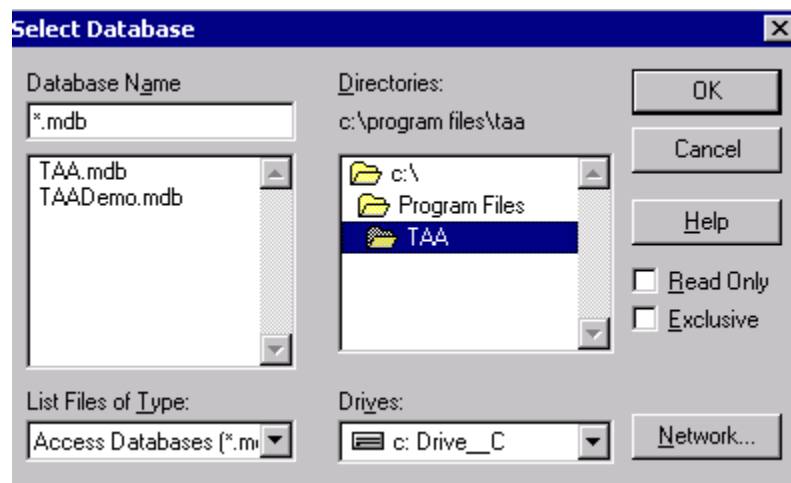
The ODBC Microsoft Access Setup window will pop up. Enter the data source name, which is “TAADV” and the description, “TAA database.” Then go down to the “Database” option and click the “Select” button.

Note that all database setups in Access must have a data source name beginning with the prefix “TAADV” and there should be no spaces in the data source name. For example, users should enter “TAADV Demo” as the data source name for the demo database included with the software application. This ensures that these additional databases will appear in the Switch Database function. For more information about the Switch Database function, see Section F of Chapter IV: Reference Guide.



The Select Database window will pop up with your C: drive and file folders (unless you have chosen to save the file elsewhere). Open the Program Files folder and scroll down until you see the TAA folder. When you open this folder, the TAA.mdb and TAA Demo.mdb should appear in the left window. Highlight the applicable file and click “OK.”

If the software was installed in a different directory, follow the procedure using the appropriate directory.



Click “OK” on each of the open screens to close them.

Task 6— Fixing Database/Data Source Errors During Installation

For some users of Windows 2000, XP and NT, the data source may not be linked to the correct database or to any databases, which prevents the application from functioning.

To determine if the correct database is selected, select the Data Sources (ODBC) in the Control Panel—Administrative Tools, User DSN tab. Check that the TAADV is linked to the right database. To do this, double click on the TAADV Data Source (ODBC) and check the path under the “database” section. If the application was saved to the C:\ drive then the database should be in the C:\Program Files\TAA folder. If the software was saved to another location, check to make sure that the data source points to this other folder and database.

Some users of Windows 2000, XP, and NT may also need to set up the ODBC in the System DSN tab under Administrative Tools. Users should try this solution if the application freezes on the initial splash screen. This setup procedure is identical to the procedure used for the User DSN tab.

If you are still experiencing difficulties accessing the software after checking the data source, you should consult your system administrator.

Task 7—Manually Registering Files

While installing the TAA data validation software, users may get an error message stating that a file is not registered or cannot be found. In certain cases, users may get this error message after the software has been installed instead of during the installation process.

These error messages can be resolved by manually registering the specific files that failed to register. First, users should check for the unregistered file on their hard drive. The file should be located in C:\program files\TAA, in C:\winnt\system32 or in a different directory if the software was not installed in the default directory. If the file is on the hard drive, users should follow the steps outlined below to manually register the file. If the file cannot be found, users should contact TAATA@mathematica-mpr.com.

To manually register the files, go to the Start menu and select Run. In the Run box, in the Open field, type in the regsvr32 command in the following format:

```
regsvr32 "PathName"
```

where “Pathname” is the full location of the file including the file name given in the error message. Type in the entire pathname and filename with quotes around it.

For example, users with Windows 2000 or XP would type the following in response to an error message noting that the file crviewer.dll is not registered:

```
regsvr32 "c:\program files\TAA\crviewer.dll"
```

Windows NT users would type in:

```
regsvr32 "C:\winnt\system32\crviewer.dll"
```

After typing in the regsvr32 command click “OK”. This manually registers the file that did not register during the batch installation process.

Users should see a regsvr32 message that the manual registration succeeded. Repeat this process for each unregistered file.

Task 8—Database Setup for Multi-User Access

The following instructions apply to states that want to provide multi-user access to a pre-loaded database.

Definitions:

In the instructions, the term *local* is used to describe when a change is made on the user's machine, and

the term *central* is used to describe when a change is made to a database not located on the user's machine.

Instructions:

1. One user loads the extract file to be validated to user's local machine.
2. Compact the database (under the Utilities Menu) and close out the software.
3. Find the local TAA software directory (note the default directory is C:\Program Files\TAA).
4. Find the TAA database called "TAA.mdb" (or the database into which the extract was loaded); note that this database contains the extract file that was imported in addition to the DV worksheets that will be completed for validation.
5. Save the local TAA database to a central location where other users can access it in order for them to individually complete the validation worksheets. Typically, this location will be a drive on a network server.

Users who are completing the validation worksheets using the database on the server must know where the database is stored and the name of the database. They must also have the TAA software loaded locally on their machines (note that all of the users will need to have the same version of the software).

APPENDIX E
SOFTWARE REFERENCE GUIDE

This appendix provides a condensed list of all of the software menus and functions for quick reference.

A. FILE MENU

The first menu on the toolbar is called “File.” Options in this menu include:

1. Show Tips at Start-Up

Users can choose whether or not to have the tips appear at start-up by double-clicking on Show Tips at Start-Up.

2. Exit

Select this to exit the program.

B. IMPORT DATA MENU

The second menu on the toolbar is called “Import Data.” Options in this menu include:

1. Import From Extract File

Select this tab to import data into the application. See the source table record layout for the appropriate data record format.

2. View Duplicates

This function displays a report that lists duplicates that the software identifies and rejects when importing the extract file.

3. Source Table Record Layout

This function displays the record layout used to develop the validation file. The record layout is in the TAPR format with the addition of six fields. A copy of the record layout can be found in Chapter III of this handbook.

4. View Source Table

This function displays all of the records that were imported into the software.

C. CHANGE REPORTING OPTIONS MENU

The third menu on the toolbar is called “Change Reporting Options.” The only option in this menu is:

Change Reporting Options

This function opens an expanded version of the Sign In pop-up window. The user enters the fiscal year and selects period start and end dates. The user can also select an office name, WIB name, and/or case manager filter to view subsets of records and to generate substate reports for management purposes.

D. REPORT VALIDATION MENU

The fourth menu on the toolbar is called “Report Validation.” Options in this menu include:

1. View Report Validation Tables

This function provides a summary of each performance outcome group and totals of records and dollar amounts, where applicable, for each group. By clicking on the arrow in the far left column next to a performance outcome group, the user can view the detailed records in that group.

2. View Performance Report

This function displays a report that calculates the values for the three performance measures for the TAA program. The report may be printed by clicking the printer icon on the tool bar.

E. DATA VALIDATION MENU

The fifth menu on the toolbar is called “Data Validation.” Options in this menu include:

1. Edit Worksheets

a. Summary of Samples Taken Tab

This window displays a summary of the sample types. Click on the sample row to view the worksheet summary for the sample.

b. Worksheet Tab

The validation software automatically selects a sample of records and displays the sampled data on a summary worksheet. The summary worksheet is read only.

To access, update, and print individual sampled cases, double click in any column of the applicable case. This will open a condensed validation worksheet for the particular sampled record. The condensed worksheet is tabbed, to allow the user to more easily navigate through all of the data elements.

2. Print Worksheets

This function enables the user to print the worksheets in batch mode.

3. Print Summary/Analytical Report

This function displays a report that is generated after the worksheets are completed. The report calculates two types of error rates for each applicable data element.

4. Print Sampled Counts Report

This function displays a report showing the distribution of sampled cases by WIB name, office name, and sampling unit.

5. Summary/Analytical Comments

This opens a data entry screen where users can enter in comments related to their data validation results. The comments then appear on the summary and analytical report.

F. UTILITIES MENU

The sixth menu on the toolbar is called “Utilities.” Options in this menu include:

1. Compact Database

Eliminates the temporary memory storage by compacting the database. This feature removes unnecessary files remaining in temporary memory storage after an import has been completed, without deleting files required for analysis and validation. In order for the software and database to function properly and efficiently during the import of large files, the user should compact the database prior to every import. Otherwise, errors may result even if the underlying source file is properly formatted. These overload errors may show up in both the error counter on the import screen and as database “overload” errors in the import.txt file. This function is only applicable to Access users. Users should exit the application after compacting and then reopen the application for further use.

2. Switch Database

This function allows the user to select from multiple databases using a drop down menu. The current database may be archived by saving a copy of it in a different location. This functionality may be helpful if you:

- Have archived prior validation findings but still want to easily access them through the application
- Have split the validation file into two databases to keep the size manageable for large states
- Want to access the state’s validation database as well as the demo database

G. WINDOW MENU

The seventh menu on the toolbar is called “Window.” Options in this menu include:

1. Cascade

Realign open windows to appear in a cascade from the top left corner of the screen.

2. Tile Horizontal

Realign open windows horizontally.

3. Tile Vertical

Realign open windows vertically.

This menu also indicates the names of the open windows, with a check next to the dominant window.

H. HELP MENU

The eighth menu on the toolbar is called “Help.” Options in this menu include:

1. Help Contents

This feature is under development.

2. Contacting Mathematica Policy Research, Inc.

This feature provides contact information for users who would like additional assistance with installing or using the software. Users should e-mail TAATA@mathematica-mpr.com, and specify the software version being used, the specific question, and the user’s contact information.

3. About

This feature provides the software version number and product development information for the application.